GHANA JOBS AND SKILLS PROJECT (GJSP)

Credit # 6716-GH

PROJECT ID: P166996

Coordinating Agency
Ministry of Finance

Implementing Agencies
Council for Technical and Vocational Education and Training
National Board for Small Scale Industries
Ministry of Employment and Labour Relations

Partnering Agency
Ministry of Environment, Science, Technology and Innovation
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DEFINITIONS

"Anti-Corruption Guidelines" means, for purposes of paragraph 5 of the Appendix to the General Conditions, the "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006 and revised in January 2011 and as of July 1, 2016.

"Annual Works Plan and Budget" means the work plan and budget approved by the Association and adopted by the Recipient in accordance with the provisions of Section I.D of Schedule 2 to the Financing Agreement, as said work plan and budget may be modified from time to time with the written agreement of the Association.

"Apprenticeship Training" means competency-based training as certified by COTVET, consistent with the country's national Technical and Vocational Education and Training (TVET) Qualification Framework, and using the existing Ghana TVET Voucher Program's system to provide payments to Training Providers and beneficiaries and to track the status, progress, and performance of providers and beneficiaries.

"Basis Adjustment to the Interest Charge" means the Association's standard basis adjustment to the Interest Charge for credits in the currency of denomination of the Credit, in effect at 12:01 a.m. Washington, D.C. time, on the date on which the Credit is approved by the Executive Directors of the Association, and expressed either as a positive or negative percentage per annum.

"Basis Adjustment to the Service Charge" means the Association's standard basis adjustment to the Service Charge for credits in the currency of denomination of the Credit, in effect at 12:01 a.m. Washington, D.C. time, on the date on which the Credit is approved by the Executive Directors of the Association, and expressed either as a positive or negative percentage per annum.

"CERC Operations Manual" means the plan referred to in Section I.F of the Schedule 2 to the Financing Agreement, acceptable to the Association to be adopted by the Recipient for the implementation of the CERC Part.

"CERC Part" means the contingency emergency response component under Part 5 of the Project.

"Competency Based Training" means industry and demand-driven outcome-based education and training programs, based on industry standards. These standards are the basis upon which curriculum, teaching and learning materials, and assessment tools and procedures are developed and administered.

"Competency Based Training Packages" means the training and accreditation as defined in the National TVET Qualifications Framework, approved by the Recipient in 2012, including the curriculum, teaching and learning materials, and assessment tools and procedures, to be developed and administered under the Project.

"Competitive Business Start-up Grant" means a grant to an entrepreneur or group of entrepreneurs, selected in accordance with the selection and eligibility criteria set out in this PIM and referred to in Part 2.1 of the Project.

"Competitive Grant" means a grant to a micro or small enterprise or group of such enterprises, as referred to in Part 2.2 of the Project, selected in accordance with the selection and eligibility criteria set out in this PIM.

"Coordinating Authority" means the entity or entities designated by the Recipient in the CERC Operations Manual and approved by the Association pursuant to Section LF of Schedule 2 to the
Financing Agreement, to be responsible for coordinating the CERC Part of the Project. "COTVET" or "Council for Technical and Vocational Education and Training" means the Recipient's education council to coordinate and oversee the Technical and Vocational Education and Training sector under the Ministry of Education, established and operating pursuant to the Council for Technical and Vocational Education and Training Act, 2006 (Act 718). "DLI Amount" means the amount of the Credit proceeds set forth in the rows entitled "DLI Amount" in the table in the Annex to Schedule 2 of the Financing Agreement for the corresponding calendar year. "DLI Verification Protocol" means the protocol for verifying the achievements of the DLIs set out in this PIM. "Disbursement Linked Indicators" or "DLIs" means a set of indicators as specified in the Annex of Schedule 2 to the Financing Agreement. "District Public Employment Centers" means the physical centers in the districts managed by the Ministry of Employment and Labour Relations with functions as prescribed under Labour Act 2003 (Act. 651). "Eligible Crisis or Emergency" means an event that has caused, or is likely to imminently cause, a material adverse economic and/or social, impact to the Recipient, associated with a natural or man-made crisis or disaster, including health-related emergencies. "Eligible Expenditure Programs" or "EEPs" means a set of defined expenditures consisting of salaries incurred by the Recipient under Parts 1 and 2 of the Project, and specified in the budget lines set forth in Schedule 4 to the Financing Agreement. "Emergency Expenditure" means any of the eligible expenditures set forth in the CERC Operations Manual in accordance with the provisions of Section I.F of Schedule 2 to the Financing Agreement and required for the activities to be financed under the CERC Part. "Entrepreneurship Training" means training based on competency-based packages, customized to the baseline needs and abilities of local target populations, and which comprises of three levels: basic, intermediate, and advanced. Entry into intermediate training will require successful completion of basic training. "ESIA" means any environmental and social impact assessment to be prepared by the Recipient for a specific Project activity under the ESMF, in each case identifying and assessing the potential environmental and social impacts of a proposed Project activity; and measures that endeavor to prevent and respond to gender-based violence and sexual exploitation and abuse, and to handle those events and report them to the relevant authorities and to the Association should they occur, as such ESIA may be amended from time to time with the prior written agreement of the Association. "ESMF" means the environmental and social management framework disclosed in the Recipient's country and on the Association's website on July 12, 2019, prepared by the Recipient and approved by the Association setting forth an environmental and social screening process that will enable the Recipient to identify and assess potential adverse environmental and social impacts, and to eliminate or offset adverse environmental and social impacts or to reduce them to acceptable levels, or enhance positive impacts, and in accordance with which site specific ESIAs and ESMPs will be prepared and submitted to the Association for its approval, as the same may be amended from time to time with the prior written approval of the Association. "ESMP" means an environmental and social management plan to be prepared by the Recipient for a specific Project activity under the ESMF, in each case setting forth appropriate mitigation,
monitoring and institutional measures designed to mitigate the potential adverse environmental and social impacts of a proposed Project activity and measures that endeavor to prevent and respond to gender-based violence and sexual exploitation and abuse, and to handle those events and report them to the relevant authorities and to the Association should they occur.

"Fiscal Year" or "FY" means the fiscal year of Recipient commencing on January 1, and ending on December 31, of each year.


"Ghana Labor Market Information System" or "GLMIS" means, a web-based management information system or database, managed by MELR, aimed at collecting and making available for use, information on labor market conditions, employers and workers, and on job vacancies and job seekers.

"Grant" means a Competitive Business Start-up Grant or a Competitive Grant.

"Grant Agreement" means an agreement between the Recipient and the Grant Beneficiary setting out the terms and conditions for a Sub-Grant.

"Grant Beneficiary" means the recipient of a Sub-Grant under a Grant Agreement for implementing a Sub-Project.

"Grant Management System" means the system which is operational and strengthened under SDF II, used for all aspects of grant management from application onward, and which captures reporting information by, and monitoring of, Grant Beneficiaries.

"Inter-Sectoral Oversight Committee for the Skills Development Fund" means the committee established by the Recipient as described in Section 1.A.6 of Schedule 2 to the Financing Agreement.

"Intensive Follow-up Support" means coaching and mentorship support and regular monitoring (for a period of one year) to help the Grant Beneficiary implement the grant in accordance with the business proposal, implementation plan/roadmap, and grant use regulation.

"NBSSI" or "National Board for Small Scale Industries" means a government agency established and operating pursuant to the National Board for Small-scale Industries Act, 1981 (Act 434), and responsible for improving the competitiveness of micro, small and medium enterprises by facilitating the provision of business development.

"MESTI" or "Ministry of Environment, Science, Technology, and Innovation" means the Recipient's ministry responsible for environment, science, technology and innovation or any successor thereto.

"MELR" or "Ministry of Employment and Labor Relations" means the Recipient's ministry responsible for employment and labor relations or any successor thereto.

"MoF" or "Ministry of Finance" means the Recipient's ministry responsible for finance or any successor thereto.

"Operating Costs" means the incremental expenses incurred by MoF for maintaining the PCU or by the relevant IMA, based on the Annual Work Plans and Budgets as approved by the Association, on account of Project implementation, management, and monitoring and evaluation, including the reasonable costs for utilities and supplies, bank charges, communications, vehicle operation, maintenance, and insurance, office space rental, building and equipment maintenance, public awareness-related media expenses, travel and supervision, and salaries of contractual and temporary staff, but excluding salaries, fees, honoraria, and bonuses of members of the Recipient's civil service.
"PIMOC" means the Project Inter-Ministerial Oversight Committee described in Chapter 11 of this PIM.

"Priority Trade" means a trade identified and prioritized by industry experts as in demand.

"Procurement Regulations" means, for purposes of paragraph 87 of the Appendix to the General Conditions, the "World Bank Procurement Regulations for IPF Borrowers", dated July 2016, revised November 2017 and August 2018.

"Project Coordination Unit" or "PCU" means the unit established by the Recipient as described in Chapter 11 of this PIM.

"Project Implementing and Partnering Agencies" means collectively the following agencies, namely, COTVET, NBSSI, MESTI, and MELR.

"Project Implementation Manual" or "PIM" means this manual for the implementation of the Project.

"Project Steering Committee" or "PSC" means the committee established by the Recipient as described in Section 1.A.2 of Schedule 2 to the Financing Agreement.

"Project Technical Committee" means the technical committee established by the Recipient as described in section 1.A.3 of Schedule 2 to the Financing Agreement.

"Project Year" means the Recipient's fiscal year, running from January 1 to December 31.


"Safeguard Instruments" means the ESMF and any ESMP and ESIA prepared under the Project.

"Skills Development Fund" or "SDF" means the institutional and implementation arrangements (including a web-based grant management system) established in 2011 within COTVET for selecting, awarding, and monitoring Competitive Grants to private enterprises or associations and supporting the implementation of the Competitive Grant.

"SDF 11" means the second phase of the SDF implemented between 2016 and 2020, funded by the Recipient and DAN IDA, and managed by a contracted private management firm.

"Signature Date" means the later of the two dates on which the Recipient and the Association signed the Financing Agreement and such definition applies to all references to "the date of the Financing Agreement" in the General Conditions.

"SME" means small and micro enterprise established under the laws of the Recipient.

"Sub-Grant" means a grant provided to a Grant Beneficiary under a Grant Agreement for implementing a Sub-project.

"Sub-project" means, in respect of each Sub-Grant, the activities to be carried out by the Grant Beneficiary, as set out in the respective Grant Agreement, and to be financed by such Grant.


"TVET Voucher Program" means the program established under the Recipient's Ghana TVET Voucher Project (GTVP), and operated by COTVET.
"Training" means the reasonable cost of training under the Project, based on Annual Work Plans and Budgets, including costs associated with seminars, workshops, travel and subsistence costs for training participants, services of trainers, rental of training facilities, preparation and reproduction of training materials and other activities directly related to course preparation and implementation, all based on periodic budgets acceptable to the Association (but excluding costs of consulting services).

"Training Providers" means registered public and private training institutions.

"Year" or "Years" means any or all of Year 0, Year 1, Year 2, Year 3, Year 4 or Year 5, as the context may require.

"Year 1" means the period starting on the Effective Date and ending on December 31, 2021.

"Year 2" means the period starting on January 1, 2022 and ending on December 31, 2022.

"Year 3" means the period starting on January 1, 2023 and ending on December 31, 2023.

"Year 4" means the period starting on January 1, 2024 and ending on December 31, 2024.

"Year 5" means the period starting on January 1, 2025 to June 30, 2026.
CHAPTER 1: INTRODUCTION

This Project Implementation Manual (PIM) has been prepared for the Ghana Jobs and Skills Project (GJSP) which is being funded by the International Development Association (IDA) with credit funds of US$ 200.00 million, closing on 30 June 2026.

The manual has been prepared to guide the efficient and effective management of the GJSP. The PIM shall provide procedures and processes to be followed in ensuring that the implementation of the Project is conducted according to applicable guidelines and stipulated timelines and ensure that the expected results of the project are achieved as originally envisaged. The procedures described in this manual are based on the operational policies and guidelines of the World Bank.

In the preparation of the manual, reference was made to the following important project documents:

i. Project Appraisal Document (PAD);
ii. Financing Agreement (FA);
iii. Disbursement and Financial Information Letter (DFIL);
iv. Environmental and Social Management Framework (ESMF);
v. Stakeholder Engagement Plan (SEP); and

These documents should be used together with the PIM. Where conflict exists, the Project Appraisal Document, the Financing Agreement and the Disbursement Letter shall prevail.

1.1 Objectives of the Project Implementation Manual

The overall purpose of this manual is to enhance the efficiency and effectiveness of the implementation of the Project through:

i. Articulating administrative and organizational responsibilities and arrangements, performance indicators, and arrangements for environmental and social monitoring;
ii. Providing the basic principles and procedures of operations in implementing the Project, such as financial management and procurement and contract management; and
iii. Promoting the active involvement of all stakeholders in the planning, management, implementation, monitoring and evaluation of project activities aimed at achieving the project development objectives.

1.2 Structure of the Manual

The PIM outlines operational guidelines and general procedures for activities that shall be carried out under the GSJP. It includes the following activities of the Project:

i. A brief background, of the project including components and costs;
ii. Institutional and implementation arrangements; and
iii. Procurement and contract management, financial management, environmental and social safeguards, grant procedures and monitoring and evaluation.

1.3 Update of the Manual

This manual shall be subject to change in the course of project implementation. The Project Coordination Unit (PCU) shall have primary responsibility for updating the manual. The World Bank’s No-objection shall be obtained before any change is made and brought to effect.
CHAPTER 2: PROJECT DESCRIPTION

2.1 Background and Context

The Republic of Ghana, with a population of about 30 million, is classified as a lower-middle-income country with a per capita income of US$5,194 (in 2017 purchasing power parity dollars) in 2018. Ghana achieved its current income status through strong, sustained economic growth. The country’s per capita national income grew by an average of 4.8 percent per year between 1993 and 2005, by 7.7 percent per year between 2005 and 2012 (peaking at 14.4 percent in 2011), and by 5.6 percent per year between 2012 and 2016. Ghana’s economic growth performance during the 2000s is mainly attributed to the sharp increase in prices for its main commodity exports, cocoa and gold, and to the start of commercial oil and gas production in 2011.

To raise and sustain its economic growth performance, the country would need to (a) increase private investment and productivity; (b) have stronger macroeconomic policy management, which includes increased domestic revenue mobilization and improved public debt management; and (c) protect against possible volatility in its economic growth, which, in the past, has been mainly driven by fluctuations in global commodity prices and by increased public spending tied to election cycles.

Stronger future performance in poverty reduction and shared prosperity gains would require (a) diversifying the economy (away from natural resources and commodities), (b) raising labor productivity (overall labor productivity growth has changed little over time), and (c) providing improved jobs to poorer households.

Ghana’s labor force has been expanding rapidly, from 6.5 million in 1993 to 12.1 million in 2017 and it is expected to continue to grow. The sectoral distribution of national income has shifted from agriculture to mainly services. Accompanying this trend, the country’s sectoral distribution of employment has also shifted from agriculture to mainly services. Today, services dominate in terms of their contribution to national income and employment. Measured in 2016/17, agriculture, industry, and services accounted for 18.3 percent, 25.5 percent, and 56.2 percent of national income, respectively. Similarly, in 2016/17, agriculture, industry, and services accounted for 41 percent, 14 percent, and 45 percent of total employment, respectively. The value added per worker is currently twice as high in services as in agriculture, but the productivity levels in both sectors have stagnated over the 2000s. Value added per worker in industry has increased over time and is now 50 percent higher than in services. All these trends are driven in part by a dramatic shift in the population distribution toward urban areas.

The vast majority of Ghanaians are self-employed. In 2016/17, 70 percent of the working-age population and 63 percent of youth were self-employed. Among the poorest 40 percent of the population, the rate of self-employment is 67 percent. The positive correlation between self-employment status and poverty status indicates that these activities are often not productive and gainful enough to lift individuals out of poverty. While the population is shifting over time from agriculture to industry and services (the share of employment in agriculture fell from 57 percent in 1991 to 34 percent in 2018), the shift in the population from self-employment to wage employment has been less than commensurate. Additionally, most of the growth in wage employment over time has been primarily in low-wage employment. Improving the economic circumstances of the typical Ghanaian will require focusing on individuals who have lower levels of education and disadvantaged labor market statuses such as labor market discouragement, unemployment, time-based underemployment, and self- or wage employment with low earnings.

Developing the skills of such individuals and helping them engage in more productive, gainful employment would be the most direct way of reducing poverty and boosting shared prosperity in the country.

Traditional apprenticeship training is a major source of skill acquisition, especially for youth who have low levels of education and come from poorer households. In 2016/17, among the working-age population, the participation rate in apprenticeship training was 22 percent, and the average length of training was 2.5 years. Of apprenticeship training participants, 87 percent had less than nine years of schooling, and 34 percent came from the poorest 40 percent. In comparison, the participation rate in Technical and Vocational Education and Training (TVET) programs (that is, the formal TVET sector) was much lower, at 12 percent. In addition, 92 percent of TVET program participants had more than nine years of education (as expected, given education completion requirements for TVET program participation), and 84 percent came from the richest 60 percent.

The predominance of low-productivity employment activities stems partly from a substantial proportion of youth going through low-quality, informal apprenticeship training. In 2012, close to half a million people were engaged in informal apprenticeship training, compared to 40,000 people in the formal TVET system. Most people trained in informal apprenticeships do not benefit from quality training. Informal apprentices depend on the limited knowledge and willingness of the master craft person to train and are limited in their learning by the narrow range of services that the master craft person provides.

Despite the poor quality of existing informal apprenticeship training, households seem nevertheless to value apprenticeships, as indicated by households and/or apprentices usually paying a fee to the master craft person in exchange for on-the-job training. Given the large number of youth entering into apprenticeship training agreements each year, improved apprenticeship training can lead to appreciable gains for both apprentices and training enterprises. International best practices suggest that the quality of training can be improved by extending training to both apprentices and training enterprises. The knowledge of master craft persons should be upgraded and certified; a dual training system combining on-the-job training with classroom training should be introduced to allow the apprentice to acquire trade-specific vocational and socioemotional skills; the skills of apprentices should be certified; and training providers in the process should be accredited. The whole process should ensure that incentives of apprentices, master craft persons, and training providers are aligned, and that training is provided in accordance with standards.

Weak support systems for entrepreneurship and small business development also contribute to poor labor market outcomes in Ghana. In addition to having low skill levels, youth face higher barriers to self-employment stemming from the lack of access to finance, land, social networks, and other resources compared to older adults. Labor intermediation constraints include lack of relevant, up-to-date, and actionable labor market information. According to the Ghana Labour Force Survey 2015, job seekers barely used internet-based and other intermediation tools. Among people who actively searched for work, more than two-fifths contacted friends and relatives for information. Fewer than 5 percent of respondents indicated that they searched the internet or newspaper advertisements or used formal employment services. The Ministry of Employment and Labour Relations (MELR) is developing a labor market information system that would provide the needed information on labor market conditions, including on job seekers and job opportunities, with the potential to serve as the primary basis for improved job

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4 Darvas and Palmer 2014.
5 Hardy and McCasland 2017.
intermediation services. The first phase of the development of the Ghana Labor Market Information System (GLMIS) has been completed with the basic software in place. District Public Employment Centers (PECs), managed by MELR, have a key role to play in gathering and inputting the needed labor market information into the GLMIS as well as in providing job connection services. The PECs are however in poor condition in terms of infrastructure and resources, and their staff are oriented toward conducting labor inspections instead of providing labor market information and job connection services.

The Government Strategy for Technical and Vocational Education and Training Transformation sets out the landscape for formal and informal sector skill training in Ghana. The strategy developed by the Council for Technical and Vocational Education and Training (COTVET) and the Ministry of Education (MOE) identifies key challenges confronting skill training. These include poor links between training providers and industry, fragmentation and poor coordination among multiple delivery agencies, multiplicity of parallel standards, inadequate testing and certification, low quality of instruction, and poor perception of skill training. COTVET’s five-year strategic plan (2018–23) aims to improve access, quality, financing, and coordination of skill training. A key element in the plan for financing skills training in private enterprises is the Skills Development Fund (SDF) which currently exists as a development partner-financed project. The Government aims to situate SDF within a legal framework to ensure sustainability with funding contributions from the private sector and the Government.

Almost all youth employment programs in the country contain some form of entrepreneurship training. The Student Entrepreneurship Business Model, initiated by COTVET, aims to enhance professional and entrepreneurship skills for TVET students. There are 13 TVET institutions currently administering this training. The Graduate Entrepreneurial Business Support Scheme, under MELR, operates a public-private partnership modality and aims to support graduates to successfully enter self-employment. Finally, a wide range of entrepreneurship training programs are administered by the National Board for Small Scale Industries (NBSSI). NBSSI is the apex Governmental body overseeing the promotion and development of the micro and small enterprise sector in Ghana. The Government views the sector as having the potential to contribute substantially to improving labor outcomes and economic productivity and growth.

The Government launched the Coordinated Programme of Economic and Social Development Policies (2017–2024): An Agenda for Jobs: Creating Prosperity and Equal Opportunity for All, which emphasizes the need for the creation of more jobs that are gainful and productive. Specific policies introduced by the Government in the past decade to address poor labor market circumstances include the country’s National Employment Policy 2015 and National Youth Policy 2010.7 In addition, the Government has developed acts to legalize certain agencies such as the Youth Employment Agency and the National Youth Authority. These agencies are mandated to formulate policies and implement programs that promote youth development and the effective participation of youth in the economic development of the country.

The Government continues to invest heavily in several employment programs, with the majority focusing on youth. An inventory of youth employment programs in Ghana revealed 40 major programs, of which 18 are implemented by the Government.8 These youth employment programs focus on TVET training, entrepreneurship training, apprenticeship training, employment services, and direct employment. Initial reviews of Government youth employment and skills development programs, including by the World Bank, raise concerns about their performance and impact.

7 Ministry of Youth and Sports 2010; Ministry of Employment and Labour Relations 2015.
8 Avura and Ulzen-Appiah 2016.
2.2 Project Development Objective
The objective of the GJSP is to support skills development and job creation in Republic of Ghana.

2.3 PDO Level indicators
The PDO level indicators are as follows:

**Indicator 1**: Percentage of apprenticeship training program participants that complete the program and have jobs at least six months after completion

**Indicator 2**: Percentage of entrepreneurship program participants that complete the program and have jobs at least six months after completion

**Indicator 3**: Percentage of grant-receiving private enterprises that have increased workforces at least six months after completion of grant support

**Indicator 4**: Number of upgraded PECs that provide improved job connection services

Where relevant, statistics for the PDO level indicators will be disaggregated by sex, age group, and location. Jobs comprise self-employment and wage employment.

Statistics for PDO-level indicators 1 and 2 will be obtained from individual-level data; for PDO-level indicator 3, from enterprise-level data; and for PDO-level indicator 4, from center-level data. Data for PDO-level indicators 1, 2, and 3 will be obtained from representative sample field surveys of supported program participants (individuals and enterprises) by third parties contracted by the Government using project funds. Data for PDO-level indicator 4 will be obtained through field visits to PECs by third parties contracted by the Government using project funds. Details on measurement of the PDO-level indicators are provided in the project’s Results Framework (see Table 38).

2.4 Component Description Summary
The project comprises of five (5) components which supports the Government’s prioritized skills development and job creation agenda. These are described below.

1. **Component 1 – Provision of apprenticeship training for jobs**
Supports the apprenticeship training for jobs through:

   i. Provision of Apprenticeship Training which combines workplace-based training offered by a master craft person and classroom-based training offered by a public or private accredited training institute (provider), under a formalized, standardized, and quality-assured apprenticeship system.

   ii. Provision of training of master craft persons who provide Apprenticeship Training; registration of public and private Apprenticeship Training providers and progress toward accreditation and the provision of competency-based training, in line with the country's National Technical and Vocational Education and Training Qualification Framework; and capacity development of accrediting bodies to effectively perform their role in accrediting Apprenticeship Training providers.

2. **Component 2 – Provision of entrepreneurship and micro and small enterprise support for jobs**
Supports the entrepreneurship and small and medium enterprise for jobs programme through:

   **Sub-component 2.1: Provision of entrepreneurship training and competitive business start-up grants to individuals for jobs**
i. Provision of Entrepreneurship Training, based on standardized, quality-assured modules, customized to baseline needs and abilities of the target populations in different locations.

ii. Provision of Competitive Business Start-up Grants for self-employment, coupled with mentorship support and intensive oversight, to those individuals (or groups of individuals) who successfully complete entrepreneurship training at the intermediate level.

**Sub-component 2.2: Provision of competitive grants to private enterprises for expanded employment**

Provision of Competitive Grants to selected micro and small enterprises or groups of such enterprises to support workforce training and technological inputs to enhance worker productivity and workforce expansion, administered through the Skills Development Fund.

3. **Component 3 – Operationalization of the Ghana Labor Market Information System, upgrading of District PECs and services, and independent performance reviews of Government youth employment and skills development programs**

This supports:

**Subcomponent 3.1: Full development and operationalization of the Ghana Labour Market Information System (GLMIS)**

Development, operationalization, and maintenance of the Ghana Labor Market Information System (GLMIS), including ensuring access and availability for use of GLMIS data by government ministries and agencies, private employers, education and training institutions, prospective and incumbent workers, among other stakeholders.

**Subcomponent 3.2: Upgrading of District Public Employment Centers (PECs) and provision of improved job connection and labor market information services to job seekers and employers**

Physical refurbishment of selected District Public Employment Centers and the capacity development of staff in said centers, to provide job connection services to job seekers and employers.

**Subcomponent 3.3: Independent performance reviews of, and technical assistance for reforming, Government youth employment and skills development programs**

Conduct independent performance reviews and provide technical assistance for reforming selected government youth employment and skills development programs.

4. **Component 4 – Capacity development, technical assistance, and project management support for enhanced skills and jobs impact**

This supports project implementation through:

**Subcomponent 4.1: Capacity development and technical assistance**

Provision of goods, works and services for capacity building and technical assistance to: (a) Council for Technical and Vocational Education and Training ("COTVET"); (b) National Board for Small Scale Industries ("NBSSI"); (c) Ministry of Employment and Labor Relations ("MELR"); (d) Ministry of Environment, Science, Technology, and Innovation ("MESTI"); and (e) Ministry of Finance ("MoF"), for the implementation of their respective parts of the Project.
Subcomponent 4.2: Project management support

Strengthen the capacity of: (a) COTVET; (b) NBSSI; (c) MELR; (d) MESTI; and (e) MoF, to carry out Project management and coordination, all through the provision of technical assistance and Operating Costs required for that purpose.

5. Component 5 – Contingent emergency response component

Providing immediate response to an Eligible Crisis or Emergency, as needed.

2.5 Project Scope and Duration

The Project will be implemented from effectiveness until June 30, 2026.

2.6 Project participants/beneficiaries

The targeted beneficiaries for each of the sub components of the GJSP under Components 1 and 2 are as follows:

<table>
<thead>
<tr>
<th>Sub Component</th>
<th>Annual Target per sub component</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2021/2022</td>
</tr>
<tr>
<td>1 (a)</td>
<td>50</td>
</tr>
<tr>
<td>1 (b)</td>
<td>1000</td>
</tr>
<tr>
<td>2.1 (a)</td>
<td>10000</td>
</tr>
<tr>
<td>2.1 (b)</td>
<td>1000</td>
</tr>
<tr>
<td>2.2</td>
<td>100</td>
</tr>
</tbody>
</table>

Figure 1 below depicts a schematic of the structure of the Ghana Skills and Jobs Project.
Support to the Government of Ghana for skills development and job creation in the Recipient’s territory

Component 1
- Provision of apprenticeship training for jobs

Component 2
- Provision of entrepreneurship training and competitive business start-up grants to individuals for jobs
- Provision of competitive grants to private enterprises for expanded employment

Component 3
- Development and operationalization of the Ghana Labor Market Information System
- Upgrading of district Public Employment Centers and provision of job connection and labor market information services
- Independent performance reviews of youth employment and skill development programs

Component 4
- Capacity development and technical assistance
- Project management support

Figure 1. Jobs and Skills Project Structure (Project Components 1-4)
CHAPTER 3: COMPONENT 1 – PROVISION OF APPRENTICESHIP TRAINING FOR JOBS

3.1 Component Description

The main implementing agency for this component is the Council for Technical and Vocational Education Training (COTVET). This component aims to support Competency-Based Training (CBT) apprenticeship training for at least 25,000 individuals over the project implementation period. Apprenticeship training will combine workplace-based training offered by a workplace training provider (master craft person) and classroom-based training offered by an accredited training institute (referred to as a Training Provider (TP)).

The project will offer a more formalized, standardized apprenticeship system, through the inclusion of formal training providers, development of standard curricula and underpinned by a sound quality assurance system, which is more integrated into the government’s Technical and Vocational Education and Training qualification framework (NTVETQF).

Apprentices will also participate in a generic program offered by the training provider in the subjects of English, Mathematics, Science, Information and Communication Technology, Climate Change Mitigation and Adaptation, Health and Safety, Interpersonal Relations, and General Entrepreneurship. The project will also support literacy and numeracy training through non-formal education for apprentices, as may be necessary. This education will be provided on the days the apprentice receives classroom-based training at the training provider. Apprentices and master craft persons will also receive ICT training under the program.

Potential institutional training providers include the Technical and Vocational Education Service.

To raise the quality of apprenticeship training, the project will support:

a) Training of workplace trainers who provide training under this component, to help ensure that their own skills are upgraded and that they can deliver training to their apprentices. Accredited training providers will train workplace trainers to attain one or two competencies above the expected training level for apprentices.

b) Registration of public and private training providers and progress toward accreditation and the provision of competency-based training, in line with the country’s National TVET Qualification Framework.

c) Capacity development of accrediting bodies to effectively perform their role in accrediting training providers.

To raise the relevance of apprenticeship training, the project will support the activation and operationalization of sector skill bodies (SSB) and Business Sector Associations or Professional Bodies. The SSB, whose overall aim is to partner with the private sector to make training responsive to employer demand and to improve the governance and management of the training system. Specifically, the sector skill bodies will provide for the development of industry standards and training curriculum, quality assurance, skills audits, and capacity development of private and public training providers.

The project will also support capacity development of employer and Business Sector Associations to enable them to perform their roles of: (i) selecting individuals for apprenticeship training, (ii) linking individuals who are selected for training to master craft persons, (iii) monitoring and supporting apprentices and master craft persons, and (iv) linking trained individuals to jobs. NBSSI will partner with COTVET in this capacity development.
3.2 Component Objective and Disbursement Linked Indicators

The objective of the component is to develop CBT training packages for priority\(^9\) trades. COTVET will provide apprenticeship training for jobs by developing CBT training packages in 100 trade areas\(^{10}\) (professions) covering level 1 to 5 on the NTVETQF through 250 accredited Training Providers\(^{11}\) over a five-year period (2021 -2025). CBT training packages will comprise of occupational standards, unit specifications, learning materials, assessment instruments and marking guidelines.

Details of the Component 1 Disbursement Linked Indicators (DLIs) are presented in Annex 1A.

3.3 TargetBeneficiaries

The primary target beneficiary for the component include individuals seeking skills and jobs, master craft persons and their apprentices, cooperatives, Trade Associations, private enterprises and their workforces, public and private training providers.

The target groups will be enumerated through the Digital Project Monitoring (DPM) system. The monitoring system will capture individual-level information, including age, gender, and location of all beneficiaries.

3.4 Geographic Coverage

The component activities will cover all 16 regions in Ghana. These regions are: 1) Northern; 2) Ashanti; 3) Western; 4) Volta; 5) Eastern; 6) Upper West; 7) Central; 8) Upper East; 9) Greater Accra; 10) Savannah; 11) North East; 12) Bono East; 13) Oti; 14) Ahafo; 15) Bono; and 16) Western North.

3.5 Scope of Activities

The key activities for the component will include development of CBT training packages, accreditation of Training Providers, delivery of the programmes, assessment and certification of the learners (apprentices and their master crafts persons), and support to trade associations. The specific activities are as follows:

- Curriculum development
- Institutional Accreditation
- Assessment and Certification
- Development of eligibility criteria for the participation of Apprentices in the programme.
- Develop of eligibility criteria for the participation of Workplace trainer or Master Craft Persons (MCPs): (trade area, location, space, and accreditation) in the programme.
- Development of eligibility criteria for the participation of level 3-5 learners on the NTVETQF.
- Training of Apprentices, MCPs and level 3-5 learners on the NTVETQF
- Provide list of COTVET accredited training institutions

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\(^9\) The priority trade areas are trades that would be determined and approved by COTVET in consultation with relevant stakeholders including the Sector Skills Bodies (SSBs).

\(^{10}\) A trade is a skilled job, vocation or training typically requiring primarily manual skills and special training. A trade area is a skills/vocational area recognized and approved by the COTVET.

\(^{11}\) A Training Provider is an institution assessed and accredited by COTVET to undertake all forms vocational training in Ghana.
- Establish the demand for the programmes
- Development of relevant CBT training packages
  - Development of Occupational Standards,
  - Approval by relevant Sector Skills Body (SSB)
  - Unit Specification, Learning Materials, Assessment Instruments and Marking Guidelines
  - Validation of training packages by Joint Standing Committees and key stakeholders of at least 100 validated CBT packages
  - Approval of validated training packages by COTVET Board
  - Sensitization on approved CBT packages
  - Publication of approved CBT package (website, media etc.)
- Organise workshops for the activities above
- Organize Training of Trainers
  - Recruit consultants
  - Train facilitators, Assessors and Verifiers to implement the CBT packages.
  - Organize workshops aligned to approved training packages by zones/regions.
- Assessment and certification of 25,000 apprentices.
- Establish the voucher value by costing of the approved training units.
  - Voucher per Learner and levels for training
- Establish voucher value for Assessment and Certification
  - Voucher per learner per level for Assessment and Certification

3.6 Mode of Implementation

The component will adopt the Ghana Technical and Vocational Education and Training (TVET) Voucher Programme (GTVP) model. The program provides vouchers to apprentices, master craft persons, and training providers in its implementation. It will run on an internet-based management information system, which tracks individual beneficiaries and monitors their progress and performance.

Individuals will be selected for apprenticeship training based on standardized criteria, which are relevant, transparent, and objective (and further elaborated below). Learners will seek at least a certificate of competency on the NTVETQF (which is an eight-level qualification framework). The project will cover up to the fifth level in the NTVETQF, which is equivalent to the Higher National Diploma. Most individuals are expected to complete one or two levels of competency over 9 to 18 months.

3.6.1 Ghana TVET Voucher System

The Ghana TVET Voucher System mechanism was established, and is being operated, by the Government through COTVET with financing from the German Federal Ministry for Economic Cooperation and Development and the German Development Bank (KfW). The GTVP voucher system is ICT based, covering the application process for the program, the assessment verification process, and the payment process. It also includes an internet-based Voucher Management System (VMS) that tracks individual beneficiaries and monitors their progress and performance.

To avoid duplications, the project will be implemented based on the existing Voucher Management System (VMS). The VMS is a web-based, multiple user software (Management Information System) which brings all the operations of the Ghana TVET Voucher Project on a
single platform. It stores the data on all project-contracted stakeholders, and also digitizes the entire operations of the project from registration of beneficiaries, assigning learners to Institutional Training Providers, completion and certification of trainees. The system also handles the financial side of the project, serving as a management tool for decision making, storing or archiving of invoices, among others.

The Ghana TVET Voucher Mechanism is designed to provide easy access for prospective participants (learners) from the informal sector to formal quality vocational training – the CBT courses. The system is designed to finance skills training and certification after training which people in the informal sector find it difficult to do. For this reason, different categories of vouchers (Training and Certification Vouchers) have been developed to finance facilitation of CBT courses and skills assessment after training.

The Training Voucher is the instrument that will be used by the participant to gain access to quality training. Thus, sub-project funding will be limited to payment of training cost for accredited courses at the registered TPs. The training voucher covers the cost of (internal) formative assessments taking place at the TPs right after finalization of each individual training unit.

Further to the training voucher an Assessment/Certification Voucher has been developed as an additional instrument to finance the external verification of summative assessment evidence of:

   a) the entire training programme (all units), leading to a certification at Proficiency Levels I and II; or

   b) a defined set of selected training units, leading to a certification of competence (CoC).

### 3.6.2 Selection of sectors and target occupations

The sectors to be included or delivered under the Apprenticeship training sub-component could be any of the 22 sectors of the economy but will be demand driven. Currently the programmes or occupations carried out under the GTVP include the following:

- Beauty / Cosmetics (Cosmetology)
- Consumer Electronics
- Automotive repair
- Building Construction (Welding)
- Garment / tailoring/ dressmaking
- Plumbing
- Furniture making
- Electrical installation
- Block laying and tiling
- Catering and hospitality

All the above will be continued but new programmes will be added. Programmes to be added however is contingent on the availability of CBT programmes, and these would be recommended by the Sector Skills Committee of COTVET to its Board for approval.

### 3.7 Staffing Arrangements and Implementation processes

COTVET will adapt the project management concept of the GTVP in the management and
implementation of the Apprenticeship sub-component using the web-based Voucher Management System (VMS). The Voucher Management Unit (VMU) will be run by a management consulting firm to be hired that will work under COTVET. The Executive Director will oversee the effective functioning of the Voucher Management Unit.

3.7.1 Composition of Voucher Management Unit (VMU)

The VMU (run by the management consulting firm) shall comprise a Voucher Management Coordinator, a Financial Specialist, a Procurement Specialist, an IT Specialist, a Monitoring and Evaluation Specialist and eight (8) Regional Coordinators. The functions of these officers are further elaborated below and also depicted in Figure 2:

1. Voucher Management Coordination

The Voucher Management Coordinator is responsible for the overall technical management of the apprenticeship training for jobs subcomponent and controlling of project-related regular processes and interventions. S/He will ensure the elaboration and submission of project deliverables (e.g. conceptual documents, financial plan, procurement plan, tender documents, bid evaluation reports, project progress reports, financial reports, etc.) according to agreed formats, timelines and quality. S/He is responsible to overlook the financial management of the project in order to ensure that project funds will be disbursed in line with the project purpose and in accordance with World Bank guidelines. The Project Coordinator is also responsible to maintain communication with COTVET, World Bank and other relevant Development Partners.

2. Procurement and Contract Operations

The Procurement & Contract Operations is dedicated to the management and implementation of procurement processes as well as preparation and management of contracts with suppliers and service providers according to WB guidelines, as well as contracts with TPs, TAs, and Awarding Bodies. The Procurement Specialist is in charge of its operations.

3. Financial Operations

The Project’s Financial Operations core task is to ensure accurate financial management and reporting as well as accounting and disbursement. The unit will be staffed with one permanent Financial Specialist.

4. IT Operations

The IT Operations of the VMU is in charge of ensuring the full functionality of the VMS database and of providing general IT support to the VMU Team. This includes IT infrastructure and user-related issues, which include all project stakeholders. The unit is staffed with one permanent IT Specialist, supported by the Regional Coordinators in charge of the VMS and data quality. The IT Specialist will be supported by one Project Assistant providing support to VMS data maintenance.

5. Regional Coordination

The Regional Coordinators are responsible to implement and maintain all sub-component stakeholder relations and operational procedures according to approved project document and
this PIM. The Regional Coordinators will be flexibly deployed according to the distribution of training activities. Regional Coordinators will work under the direction of the VMU Coordinator.

The chart below (Figure 2) depicts the proposed staffing structure of the VMU.

![Figure 2. Staffing Structure of VMU](image)

### 3.7.2 Beneficiary Identification and Selection

COTVET Regional Coordinators and Business Sector Associations shall be facilitated to undertake continuous awareness creation on benefits to the target groups and requirements for participation in a bid to engender widespread participation.

To further enhance the integration and success of women and persons with disabilities in apprenticeship training, COTVET will conduct extensive and intensive targeted outreach, including by leveraging civil society and community organizations, employer and trade associations, and cooperatives that focus on the interests of women and persons with disabilities; and incorporate affirmative action in the selection process of individuals for apprenticeship training.

All prospective sub-component beneficiaries shall go through application and selection process. Prior to application, beneficiaries shall go through counselling process supported by Training Coordinators. This is to enable them to identify the appropriate scope and level of training to be applied and to inform them about existing training offers.
**Beneficiaries’ Application Process**

As part of the application process, beneficiaries must indicate the specific training course that he/she wants to attend. Beneficiaries may apply for individual training units from level 1 to level 5 on the NTVETQF.

The aforementioned web-based Voucher Management System (VMS) will be used and it will be hosted at COTVET with the server either at NITA or a private hosting Company with backup at NITA. To have a reliable server hosting services and control, a long term option of building a data centre for the COTVET through the GJSP will be considered.

The purpose of the VMS is to maintain and manage the data required by the voucher scheme and to generate management reports for COTVET.

Regional Coordinator shall guide the applicants in the application process. The RCs shall enter the learners’ application into the online form of the VMS. Application data will be uploaded via internet by the RCs at least once a week to the VMS.

The application for prospective applicants shall include the following:

- Name, age, gender, current photo
- Ghana Card ID number (if available), alternatively: scan of birth certificate (if available)
- Address, mobile phone, email (as far as available)
- Scan relevant certificate or qualification
- Preferred training courses, units or credits
- Apprentices: start of apprenticeship, name of workplace training provider, scan of approval from workplace training provider (has to be registered within the VMS)

The Voucher Management Unit of COTVET will be responsible for the daily operations of the VMS while technical issues related to the hosting of the VMS will be under the control of the COTVET IT Manager and an IT Specialist.

### 3.7.3 Selection of Training Providers

Only COTVET registered and accredited TPs are eligible to participate in the sub-component activities (in accordance with L.I. 2195). The selection of TPs will follow the following process:

**Step 1: Submit application**

Once an institution received COTVET accreditation it needs to apply to the project to express interest in participation. The interested COTVET accredited TP is required to complete an application form and provide the following information:

- Standard institutional data of the TP
- Location of the training institution
- Training courses offered relevant to the trades that are supported by the GTVP.
- Details of the content of the training courses
- Details regarding the availability of workshops and equipment
- Commencement dates, frequency and duration of training
- Capacity of the classes (number of students that can be accommodated)
- Number of accredited training facilitators per training course.
A sample Application Form for the Training Providers is attached as Annex 2.

**Step 2: Compliance check**

After completion and submission of the application form, an Officer from the VMU shall conduct a compliance check on the applicant TP. The compliance check relates to the Quality Assurance (QA) of the formal TVET and that of workplace-based Learning. It involves assessing the applicant TP with respect to the following:

- Preparedness to implement CBT in TVET according to the Ghana TVET Strategic Plan, and
- Assurance of the quality of the CBT training courses and compliance with CBT standards,

A copy of the checklist for Compliance Check is attached as Annex 3.

**Step 3: Clearance and commencement of training**

Based on the investigation on demand and supply, and successful compliance check, the TPs need to execute the following steps to commence training:

a. submission of a Training Delivery Plan by the TP to the COTVET VMU to indicate scheduled training activities; and
b. uploading of approved training offers (courses) into the VMS.

The total number of available training places in a region shall give indication of the number of vouchers to be issued. During the process of voucher issuing, COTVET VMU cross-checks the availability of places at registered TPs in the respective regions with the applications for training from the target group in the same region. Based on this information, learners can be allocated to the closest available training institute to their place of residence.

3.7.4 **Training Curricula and Certification**

The training curricula will encompass the industry led occupational standards, the Units Specification, the Learning materials, the Assessment instruments and the Marking Guidelines that has been approved by the COTVET Board. The curricula for each trade area and level shall be developed by COTVET in partnership with sector skills boards and trade associations and approved by COTVET Board. The certification accompanying the Training curricula is drawn from the NTVETQF. The existing curricula are available at the COTVET Secretariat.

3.7.5 **Capacity Building/Development Activities**

The Legislative Instrument (L.I) for the effective implementation of Part Two of the Education Regulatory Bodies Act, 2020 (Act 1023), which is the Commission for TVET, needs to be developed to set the pace for other capacity development activities to be undertaken.

The beneficiaries of capacity developing activities will include Training Providers, sector skills bodies, Business Sector Associations or Professional Bodies and COTVET staff. With respect to employer and trade associations and cooperatives, the project will support capacity development to enable them to perform their roles of: (i) selecting individuals for apprenticeship training, (ii) linking individuals who are selected for training to workplace training providers,
(iii) monitoring and supporting apprentices and master craft persons, and (iv) linking trained individuals to jobs. Awarding Bodies will be provided with support in their Assessment and certification activities and IT equipment will also be provided for COTVET, Training Providers and Business Sector Associations. COTVET will partner with NBSSI in these capacity development initiatives.

Besides the technical training that will be provided for the specific trade areas, the capacity development activities to be provided will also include:

i. Team building
ii. Communication
iii. Project management
iv. Emotional Intelligence
v. Negotiation and Contract Management
vi. Relationship management and personal effectiveness
vii. Strategic planning and management
viii. Customer service and relationship management

The specific capacity building/development activities for the different categories of beneficiary groups is further elaborated below:

3.7.5.1 COTVET

COTVET currently has the following fully functioning directorates and units which will be deployed to support the aforementioned VMU:

- Directorate of Planning, Projects, Research, Monitoring and Evaluation (PPRM&E)
- Directorate of Accreditation, Assessment and Certification (AA&C)
- Directorate of Standards, Curriculum Development and Enforcement
- Directorate of Finance
- Directorate of Human Resource and Administration
- Legal Unit
- Corporate Affairs Unit
- Internal Audit Unit
- Information and Telecommunication (IT) Unit
- Zonal Office

In addition to the training items listed above from (i) to (viii), the under listed specific trainings will be provided for the directorates and Units:

- **HR** – Organizational Development.
- **Admin**- Public Administration and Management.
- **AUDIT** – Risk Management
- **CBT** – CBT Quality Assurance, CBT Assessment, CBT Implementation.
- **I.T** – Oracle Systems Administration, Advanced Web Technology Development.
- Forensic Science
- **Procurement**- Project Management (PMP), PRINCE2
- **PPRME** – M & E, Statistical Data Analysis and Project Management (PMP), PRINCE2
COTVET currently has a full-time staff strength of **Seventy - six (76)** and additional Project staff of **Fifteen (15)** working on the Ghana TVET Voucher Project. The various departments will work with the specific project staff to be recruited. All departments will benefit from the capacity building as indicated in the Capacity Development section.

### 3.7.5.2 Training Providers

The capacity of TPs will be built to make them CBT compliant in their training delivery (for example training of facilitators, assessors and verifiers). Their capacity will also be built in the application of the IT based Voucher Management System in mounting of course, setting courses to complete, attendance monitoring, capturing of internal assessment information, printing of invoices and overall management of training activities via the VMS.

### 3.7.5.3 Sector skills bodies

The establishment of Sector Skills Bodies (SSBs) is part of the process of ensuring a demand-driven TVET system that have a high impact on the potential of employment, youth entrepreneurship, and economic competitiveness of the country’s labour force on the international stage. In creating a truly employer-driven system it will be important that the SSBs are fully empowered and are embedded in the TVET system. The SSBs play a critical role in driving it forward by ensuring that Ghana’s TVET system meets the growing skills demands of businesses.

Capacity building for SSBs will focus on enhancing and facilitating the key functions that the SSBs will play, including:

- Identifying skill needs and understanding labour market analysis
- Developing sector-skill strategies
- Supporting the development of occupational standards and learning materials
- Developing the training programmes for young people and skills upgrading for existing workers Fund skills development and
- Support the formation of PPPs.

### 3.7.5.4 Support to Business Sector Associations

The capacity of Business Sector Associations (Trade Associations, Professional Bodies and others) will be built to enable them take over a coordinating role of CBT delivery within the apprenticeship system. Capacity building for Business Sector Associations will focus on the application of the IT based Voucher Management System in supporting application process for apprentices, workplace training providers (MCPs). This will help them give feedback via the VMS upon completion of training activities by the TP, printing of invoices and general support to applicants in application processes.

### 3.8 Grant Disbursement

Training Vouchers will be issued to successful learners from the target group with the main purpose of giving the learners access to accredited training courses at a registered training institute. The learner presents the voucher to the TP and upon validation of the voucher by the TP, the learner is accepted for the training course corresponding with the voucher. The Training Voucher is also the instrument that is used to compensate training providers for the cost of tuition.

GJSP funding will be limited to payment of training cost for accredited courses at the registered TPs and their assessment. The training voucher covers the cost of (internal) formative
assessments taking place at the TPs right after finalization of each individual training unit and the external verification of summative assessment evidence of the entire training programme (all units), leading to a certification at Levels I to 5.

The step by step procedures for redeeming training and certification vouchers are presented in the next sections.

### 3.9 Redeeming the Training Vouchers

The disbursement of training vouchers to Training Providers (TPs) shall be based on the service contracts signed by COTVET and the respective TPs. The disbursement will be done in two tranches upon invoice from the TPs. The first tranche will be disbursed prior to commencement of training to enable TPs to do upfront procurement of training material and also to commit facilitators to the training course. The second tranche will be disbursed after completion of the course and termination of (internal) skills assessment and capturing of feedback data into the Voucher Management System (VMS). The first tranche (advance payment) shall cover 50% of the value of all approved training vouchers for one course, calculated by the VMS. The second tranche (final payment) shall be based on the actual voucher values, resulting from the attendance protocol of the respective course, minus the advance payment, calculated by the VMS. The TP shall provide both invoices (originals in form of paper documents) in accordance with the calculated values produced by the VMS. The invoices will be received and processed by the VMU Financial Specialist.

<table>
<thead>
<tr>
<th>Training Unit</th>
<th>First Disbursement</th>
<th>Second Disbursement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start of Training</td>
<td>Ca 3 Weeks Preparation Phase</td>
<td>Training Unit</td>
</tr>
<tr>
<td>Skills Assessment After Each Unit</td>
<td>Monitoring Data Entry Completed</td>
<td>2 Weeks Feedback Phase</td>
</tr>
<tr>
<td>Application Phase</td>
<td>Disbursement Phase</td>
<td>First Disbursement</td>
</tr>
<tr>
<td>Registration of Learners Completed</td>
<td></td>
<td>Second Disbursement</td>
</tr>
</tbody>
</table>

**Figure 3: Simplified Payment Process per Training Unit**

If a TP offers more than one training course in the same period, the TP shall submit invoices generated by the VMS for each individual course. Records on all effected payments will be maintained by the VMU Financial Specialist. The records need to be verified and signed by the VMU Coordinator on monthly basis.

Table 2 illustrates the essential steps of training voucher redemption.

### Table 2. Steps of Redeeming the Training Vouchers
<table>
<thead>
<tr>
<th>Step</th>
<th>Needed Information Flow</th>
<th>Step in the VMS (Use Case)</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Voucher Redemption: First tranche (50%)</td>
<td>1.1 Enrolment of beneficiaries</td>
<td>1.2 Assignment of beneficiaries to TP’s training course, via VMS</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.3 Registration of beneficiaries at TP</td>
<td>1.4 VMS informs TP on amount to be invoiced based on VMS calculations (download of system-generated invoice by TP)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.5 TP submits advance payment invoice (original) to COTVET</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.6 VMU Financial Specialist verifies against the contract and VMS records and releases the invoice and notifies the TP via email accordingly</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.7 VMU prepares the relevant payment documents; VMU Financial Specialist prepares the bank transfer letter</td>
<td></td>
<td>First tranche for Training Vouchers disbursed.</td>
</tr>
<tr>
<td></td>
<td>1.8 Voucher Management Coordinator (VMC) approves payment documents.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.9 VMC approves payment in line with approved PIM, the approved Financial Plan (each latest version).</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.10 Submission of payment documents to COTVET, MoE and MoF for approval and signing of bank transfer letter by respective authorized signatories</td>
<td>1.11 After receiving bank’s payment confirmation and TP’s acknowledgement of receipt: Indication in the VMS that payment is made.</td>
<td></td>
</tr>
<tr>
<td>2. Provision of evidence on training and internal skills assessment</td>
<td>2.1 TP registers the attendance of learners in the VMS</td>
<td>2.2 TP takes photos of participants and uploads attendance registers and attendance figures to the VMS. For back-up purposes the TP also maintains a paper-based attendance register</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2.3 Regional Coordinators collects training feedback from participants</td>
<td>2.4 Regional Coordinators (RCs) enter participants’ feedback on training into the VMS assisted</td>
<td>Prerequisites for disbursement of second tranche fulfilled</td>
</tr>
<tr>
<td></td>
<td>2.5 Training Providers (TP) submits evidence on procurement of training material and payment declarations of facilitators</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Voucher Redemption</td>
<td>3.2 TP submits final payment invoice (original) to COTVET</td>
<td>3.1 VMS informs TP on amount to be invoiced based on VMS calculations (download of system-generated invoice by TP)</td>
<td>Disbursement for Training Vouchers completed.</td>
</tr>
<tr>
<td>Step</td>
<td>Needed Information Flow</td>
<td>Step in the VMS (Use Case)</td>
<td>Result</td>
</tr>
<tr>
<td>------</td>
<td>-------------------------</td>
<td>-----------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>3.3</td>
<td>VMU Financial Specialist verifies the prerequisites (see step 2), releases the invoice and notifies the TP via email accordingly</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4</td>
<td>VMU prepares the relevant payment documents; VMU Financial Specialist prepares the bank transfer letter</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.5</td>
<td>VMC approves payment documents</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.6</td>
<td>VMC approves payment in line with approved Design Report, the approved Budget Plan (each latest version)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.8</td>
<td>After receiving bank’s payment confirmation and TP’s acknowledgement of receipt: Indication in the VMS that payment is made.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 3.10 Redeeming the Certificate Vouchers

The disbursement of certification vouchers to Awarding Bodies (ABs) shall be based on the service contracts signed by COTVET and accredited Awarding Body (AB). The disbursement will be done in two tranches upon invoice from the AB. The first tranche will be disbursed prior to execution of the external verification. The second tranche will be disbursed after completion of the AB’s external verification and capturing of verification reports and issued certificates into the Voucher Management System (VMS). The first tranche (advance payment) shall cover 50% of the value of all approved certification vouchers for the respective verification schedule, calculated by the VMS. The second tranche (final payment) shall be based on the actual voucher values, based on actual verifications conducted, minus the advance payment, calculated by the VMS. The AB shall provide both invoices in accordance with the calculated values produced by the VMS.

Records on all effected payments will be maintained by the VMS Financial Specialist. The records need to be verified and signed by the VMC on monthly basis.

Table 3 illustrates the essential steps of certification voucher redemption.

**Table 3. Steps of redeeming the Certification Vouchers**

<table>
<thead>
<tr>
<th>Step</th>
<th>Needed Information Flow</th>
<th>Step in the VMS (Use Case)</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Voucher Redemption: First tranche (50%)</td>
<td></td>
<td>Voucher Redemption: Second tranche</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------</td>
<td>---</td>
<td>-----------------------------------</td>
</tr>
<tr>
<td>1.1</td>
<td>VMS informs AB on amount to be invoiced based on VMS calculations (download of system-generated invoice by AB)</td>
<td>1.2</td>
<td>Awarding Body (AB) submits advance payment invoice (original) to VMU</td>
</tr>
<tr>
<td>1.3</td>
<td>VMU Financial Specialist verifies against the contract and VMS records and releases the invoice and notifies the AB via email accordingly</td>
<td>1.4</td>
<td>VMU prepares the relevant payment documents; Financial Specialist prepares the bank transfer letter</td>
</tr>
<tr>
<td>1.5</td>
<td>Voucher Management Coordinator (VMC) approves payment documents</td>
<td>1.6</td>
<td>VMC approves payment in line with approved Design Report, the approved Financial Plan (each latest version).</td>
</tr>
<tr>
<td>1.7</td>
<td>Submission of payment to COTVET Internal Auditor for checking and clearance</td>
<td>1.8</td>
<td>After receiving bank’s payment confirmation and AB’s acknowledgement of receipt: Indication in the VMS that payment is made.</td>
</tr>
<tr>
<td>2.1</td>
<td>AB plans external verification in coordination with accredited TPs based on information on number of beneficiaries ready for external verification</td>
<td>2.2</td>
<td>Awarding body enters the schedule of external verification into the VMS.</td>
</tr>
<tr>
<td>2.3</td>
<td>AB sends external verifiers to the TP’s venue to carry out external verification</td>
<td>2.4</td>
<td>External verifiers keep records on the verification conducted for each participant</td>
</tr>
<tr>
<td>2.5</td>
<td>External verifiers uploads scan of external verification report into the VMS as evidence on executed verification</td>
<td>2.6</td>
<td>AB sends reports on external verification to AA &amp;C Directorate of COTVET for onward submission to NTVETQFC for approval and recommendation to the COTVET Management.</td>
</tr>
<tr>
<td>2.7</td>
<td>AB issues and hands over the certificates to the successfully assessed participants.</td>
<td>2.8</td>
<td>AB uploads scan of issued certificate into the VMS as evidence of the participants’ qualification gained</td>
</tr>
<tr>
<td>3.0</td>
<td>COTVET sends list of accredited institutions to AB</td>
<td>3.1</td>
<td>VMS informs AB on amount to be invoiced based on VMS calculations (download of system-generated invoice by AB)</td>
</tr>
</tbody>
</table>
3.2 AB submits final payment invoice (original) to COTVET

3.3 VMU Financial Specialist verifies the prerequisites (see step 2), releases the invoice and informs the AB accordingly

3.4 VMU prepares the relevant payment documents; VMU Financial Specialist prepares the bank transfer letter

3.5 VMC approves payment documents

PC approves payment in line with approved Design Report, the approved Financial Plan (each latest version).

3.6 Submission of payment documents to COTVET, MoE and MoF for approval and signing of bank transfer letter by respective authorized signatories.

3.7 Indication in the VMS that payment is made.

3.11 Social and Environmental Safeguards

The potential environment and social risk and impacts of this component are minor, site-specific, short term, reversible, and related to noise nuisance, dust generation, and the health and safety of workers and the public from activities as a result of the upgrading or refurbishment of public or private training providers engaged in apprenticeship training. To address these potential risks and impacts from the component activities, the principles, rules, guidelines, and procedures to screen, assess, manage, and monitor the mitigation measures outlined in the Environmental and Social Management Framework (ESMF) prepared and disclosed for the project shall be followed. The ESMF includes an environmental and social screening form and checklist (see Annex 4) to be used to evaluate the associated risks and impacts of project activities. Throughout project implementation, COTVET shall apply the environmental and social screening checklist to ensure activities under the component (a) are carried out in accordance with the ESMF and (b) do not entail involuntary land acquisition or give rise to affected persons.

As part of environment and social screening of activities under this component, COTVET shall undertake climate and disaster screening of all identified training institutes. Before the final selection of training sites, COTVET will undertake a climate risk assessment at each site to ascertain the level of risk and make the appropriate recommendation for implementation.

Climate change and co-benefits: Under Component 1, the project will incorporate relevant climate change mitigation and adaptation as well as health and safety classes or courses into the apprenticeship and entrepreneurship training curricula. The project will provide training and awareness-raising on climate change mitigation and adaptation to enterprises that receive grants. The training will educate grant-receiving enterprises on ways to improve resource efficiency including with energy and water consumption and ways to reduce greenhouse gas emissions.

Social Safeguards: The risk that the subproject induces land acquisition and involuntary resettlement is limited and insignificant as the component will finance only workforce training and technology services and inputs. As a standard operating principle, the upgrading or
refurbishment of the infrastructure of public or private training providers engaged under the apprenticeship training activities will be limited to self-owned, readily available, and encumbrance-free land. Any works requiring land-take are not eligible for project support. The procedures and checklist for risk screening as set out in the ESMF shall be used to identify, assess, and address notable social risks and impacts of project activities. The screening process will also identify opportunities for improving social performance of the activities under the component.

Gender and Social Inclusion: A detailed gender analysis was undertaken that highlighted gendered factors in individual participation in apprenticeship and entrepreneurship training as well as their mediating influence in terms of accessing training and economic resources. The activities under the component will involve extensive outreach to encourage take-up and support during participation that is customized by gender and other characteristics to improve participation outcomes.

Gender Based Violence and Sexual Exploitation and Abuse: The project recognizes that young girls (ages 15–19) constitutes a significant share of prospective beneficiaries in various activities, particularly in apprenticeship and entrepreneurship program activities. To minimize and mitigate GBV and SEA risk, all actors engaged in the provision of training, grants, and other services will undergo orientation on gender, GBV, and SEA before participating in project activities. The orientation will provide relevant information about GBV and offer technical support to develop and adopt a Code of Conduct for program administrators, service providers, and beneficiaries. The code will prohibit SEA and clarify the existing institutional infrastructure for addressing notable risks in Ghana. The project’s Grievance Redress Mechanism (GRM) will include provisions and facilitate project beneficiaries to report incidents of potential abuse and exploitation. The project’s GRM will allow those exposed to SEA to report cases through multiple options. The environmental and social safeguard specialists/focal persons in the project implementing agencies will be trained on gender, GBV, and SEA. Efforts will also be made to raise general awareness on gender, GBV, and SEA in the communities served by the project.

3.12 Supervision, Monitoring, Communication and Reporting

Supervision
The project will be under COTVET supervision. The project implementation unit headed by the Voucher Management Coordinator (VMC) will report to the Executive Director of COTVET. The other Key Staff and Support Staff report to the Voucher Management Coordinator.

The Financial Specialist will oversee the financial activities and supervise staff in finance; the M&E Specialist will oversee the M&E activities and supervise the M&E officers and work closely with the PPRME Directorate and the Regional Coordinators will be supervised directly by the VMC.

Monitoring and Evaluation
The PPRME directorate at COTVET together with the M&E Specialist will coordinate Monitoring and Evaluation of this subcomponent of the project.

The M&E system will consist of three components:
- Monitoring of Training and Assessment/Certification
  - Successful implementation of CBT courses according to the contract between TPs and COTVET (relevant for the disbursement to TPs)
o Implementation of assessments and certification as agreed in the contract between Awarding Bodies and COTVET.

* Monitoring of Disbursement and Utilisation of Funds
  o Disbursement process
  o Utilisation of funds according to the contract between COTVET and the TPs and Awarding Bodies.

* M&E of sub-component Output, Outcome and Impact
  o The monitoring of the overall results is closely aligned with the projects results indicators, defined in the project results framework.

To capture information for PDO-level indicator #1 related to this component, an independent firm will be contracted using project funds. Information will be captured annually over the life of the project, starting from the second year of project implementation. This information will be obtained from a field-based survey of a representative random sample of apprenticeship program participants, based on agreed standardized questionnaire and survey procedures. The frame for the sample obtained from the Ghana TVET Voucher MIS, used by the project.

Monitoring will be conducted monthly to ensure that all deliverables are on track and iterations introduced when necessary. This will be done by the M&E officers based on the monitoring schedule to be designed by the M&E Specialist in collaboration with the PPRME Directorate. The M&E tools/instruments that will deployed to track the success of the project implementation will include:

- Annual work plans, monthly field and monitoring visits; and
- Monthly, quarterly and annual reporting. All of these will related to the baseline survey report

**Communication**

The project will be promoted based on a developed marketing and communication strategy. The objective of the Communications and Marketing strategy is to provide a strategic basis for reaching out to prospective beneficiaries in the geographical areas of the project; inform on the purpose of project marketing and share results to the stakeholder and general public. The Public Relations Officer (PRO) of COTVET and his support team shall be responsible for all communications and PR activities. The communication specific objectives and activities are outlined below.

**Specific objectives:**

- Deepen public awareness on the sub-component
- Accelerate the registration of stakeholders with COTVET
- Inform Trade Associations on access to vouchers under the sub-component
- Document and share results on the sub-component.

**Specific activities:**

- Develop and publish project brochures
- Production of air radio adverts on the project
- Place print media adverts on the project
• Hold television and radio discussions on the project
• Produce video / youtube documentaries on the project
• Publish electronic project Bulletin (newsletter)
• Hold Forum to disseminate Project Results
• Regular update of Project Website.

Reporting
The VMC will report to the Executive Director, COTVET who will in turn report to the Project Coordination Unit at the Ministry of Finance on a monthly/quarterly/annual basis. These reports would also be submitted to the World Bank by the Project Coordination Unit.
CHAPTER 4: COMPONENT 2 – PROVISION OF ENTREPRENEURSHIP TRAINING AND MICRO AND SMALL ENTERPRISE SUPPORT FOR JOBS

This component comprises two subcomponents as elaborated below.

4.1 Subcomponent 2.1: Provision of entrepreneurship training and competitive business start-up grants to individuals for jobs

The National Board for Small Scale Industries (NBSSI), the implementing agency for this component, has an extensive and deep record in the provision of entrepreneurship and small business management training and the provision of cash grants and in-kind inputs to entrepreneurs and micro and small enterprises across the country. The agency has offered variants of these interventions, supported by several international and national development partners, including the domestic private sector.

4.1.1 Subcomponent Description

*Entrepreneurship training.* Three levels of entrepreneurship training will be offered: basic, intermediate, and advanced. The training will be based on standardized, quality-assured packages, customized to the baseline needs and abilities of the target beneficiary population in different locations. All participants will be expected to successfully participate in and complete basic training, which would take one week in total. Of those who complete basic training, 30 percent are expected to successfully participate in and complete intermediate training, which would take an additional two weeks in total. Advanced training, which all recipients of business start-up capital grants are expected to successfully participate in and complete, will take another three weeks in total. The training curriculum will include climate change mitigation and adaptation and occupational health and safety (OHS).

*Competitive business start-up grants.* Those who successfully complete intermediate training will be eligible for competitive business start-up grants. These grants will be available to individuals or small, self-formed groups. Selection for the grant will (a) require the preparation of a business proposal and other requirements, with the aim of screening for motivated, promising applicants, and (b) be based on standardized criteria which are relevant, transparent, and objective. Grant size can vary based on a transparent, standardized formula, with absolute caps. Preliminary estimations indicate that the grant size is expected to range between US$1,000 and US$5,000. As relevant, a portion of the grant will be made available in cash to the grantee, to be used as working capital and to pay for business registration and licensing fees. As relevant, a portion of the grant will also be assigned for the purchase of needed tools; equipment; or labor-complementing, energy-efficient, and climate-smart technologies from certified technology suppliers, with advice and support from the Ministry of Environment, Science, Technology, and Innovation (MESTI). NBSSI will pay these suppliers directly. Grant recipients will receive intensive mentorship and coaching and be subject to intensive monitoring to ensure compliance with the agreed business proposal and grant implementation plan.

ICT is integrated into the subcomponent in different ways, including basic ICT training under the entrepreneurship training program, specifically geared toward social media and market access. On a more limited basis, training on ICT for business services will also be offered under the program. The MIS for this subcomponent will be ICT based. The portion of the business start-up grant assigned for the purchase of needed tools, equipment, and technologies can be used by grant recipients to purchase ICT business solutions.
4.1.2 Subcomponent Objectives and Disbursement Linked Indicators

The Project is intended to support entrepreneurship training for at least 50,000 individuals. It will also support competitive business start-up grants for at least 5,000 individuals among those who have successfully participated in and completed an intermediate level of entrepreneurship training.

The Disbursement Linked Indicators for this subcomponent is presented in Annex 1B.

4.1.3 Target Beneficiaries

The youth (persons between the ages of 21-30) are the main target of the Project with women expected to form at least 50% of all beneficiaries. Priority would also be given to Persons Living with Disabilities (PWDs).

4.1.4 Mode of Implementation

The component would be implemented through the following activities:

- Sensitization/Community Engagements
- Readiness Screening
- Needs Assessment
- Provision of Entrepreneurship Training
- Provision of Competitive Business Start-up Grants

The implementation of these activities would be synchronised to ensure that the Project meets key timelines and milestones to be achieved.

**Sensitization/Community Engagement:** There would be a nationwide sensitization during the launch of the Project. This would be followed with District Sensitizations (using various methods-media, durbars, Churches, etc.). Families and communities will be sensitized to support the women/girl targeted by the Project. This process would also include a “Call for Applications” to enable interested persons apply for the training activities.

To increase program success for women and persons with disabilities, NBSSI aims to, among other things, conduct extensive and intensive targeted outreach, including by using civil society, community, and trade organizations that focus on the interests of women and persons with disabilities.

NBSSI would also incorporate affirmative action in the selection process of individuals for training; sensitize local trainers, including on Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA); use conducive venues and locations for training; draw on appropriate role models and appropriate case studies (success stories) in the training; provide transportation allowances and child care arrangements; adjust training materials, resources, and training timing; and customize mentorship and coaching.

Measures incorporated would be sensitive to the often extremely low education backgrounds of prospective participants.

**Readiness screening:** A screening process will be conducted to identify youth with the potential to start a Business out of the envisaged large number of applications. Screening and selection of individuals for entrepreneurship training would be based on a standardized, transparent, and objective criterion.

**Needs assessment:** This would be conducted for the selected beneficiaries to identify the most pressing needs in relation to entrepreneurship development.
Entrepreneurship training: The Entrepreneurship Training would be conducted on three (3) levels: basic, intermediate and advanced. The training will be based on standardized, quality-assured packages, customized to the baseline needs and abilities of the target beneficiary population in different locations.

All training will be delivered using an experiential participatory approach conducive for adult learning. All training will also be district based and non-residential.

4.1.5 Subcomponent Management Information System

Although NBSSI has strongly supported the MSME Sector over the years, it still faces some challenges. These include the organization and management of data generated during the implementation of activities undertaken in the 185 Business Advisory Centres (BACs) at the district level.

Currently data in the districts are collected manually. To address this challenge under the GJSP, NBSSI seeks to design and install a Data Management System in the maintenance of data generated by the Project and other Programmes and Projects being implemented.

The MIS and Database System for NBSSI would be designed taking into consideration WEB Based Applications for database and reporting.

This would include:

- On-line and offline templates for capturing various categories of data and reporting
- Review and approval of request for training activities
- Create a cloud-based data for beneficiaries and other relevant stakeholders
- Evaluation of database with an interactive dashboard

With a digitized record keeping system, MSMEs will get more insights into their productivity and profitability, which will open opportunities for them to save, make better investment decision and access affordable finance.

4.1.6 Outreach, Sensitization and Orientation Activities

To ensure wider publicity and targeting for potential beneficiaries such as women and persons with disabilities, leading to increase program success, NBSSI aims to, among other things, conduct extensive and intensive targeted outreach at the national, regional and district levels.

The strategy entails:

- Geographic targeting which aims at covering both rural and urban communities across the country. The target includes assembly members, faith-based organisations and opinion leaders. The Project would also be publicised using local radio stations and community information centres where applicable.

- Self-targeting by which the target group would have easy access to Project information through local FM stations, faith-based organisations, local business associations, billboards, brochures, leaflets and fliers.

Direct targeting of specific subgroups by identifying such groups in the district including youth/young adults and Persons with Disabilities (PWDs). The approach is to liaise with the district gender officers, community development officers, assembly members, faith-based organisations and non-governmental organisations to identify women groups; orient them on the activities of the Project; and educate them on GJSP sub-project with emphasis on the project eligibility, selection and application criteria.
4.1.7 Needs Assessment of Beneficiaries

Needs assessments would be conducted for individuals who successfully apply and are selected, in order to document the specific business development services required under the Project. Successful applicants would be grouped based on their locations for the needs assessment to be conducted. Standardised templates will be developed and used for this purpose.

4.1.8 Geographical Coverage

The project will be implemented in all 16 administrative Regions in Ghana.

4.1.9 Eligibility and Criteria for Selection of Beneficiaries

The youth (persons between the ages of 21-30) are the main target of the Project with women expected to form at least 50% of all beneficiaries. Priority would also be given to Persons Living with Disabilities (PWDs).

All applicants must have completed at least Basic Education Certificate Examinations (BECE) as a minimum qualification and must be willing to start and manage a business. This would be determined through the assessment of basic entrepreneurial abilities.

However, individuals who undergo apprenticeship training under component 1 and school dropout who have already started a business on their own would be considered.

4.1.10 Training Curricula and Schedule

The Entrepreneurship training would be conducted on three (3) levels: basic, intermediate and advanced. The training will be based on standardized, quality-assured packages, customized to the baseline needs and abilities of the target beneficiary population in different locations. Training manuals would also be developed by NBSSI under the Project.

NBSSI will use its own staff at the district level (Business Advisors) and a network of contracted local trainers (Business Development Service Providers) to carry out the various activities. All personnel will be given an orientation on how to train using the tools and materials developed by NBSSI.

A. Basic Level Entrepreneurship Training

All participants would be expected to successfully participate in and complete the basic training for a period of (5) five days. Participants who participate fully and complete the basic training would be enrolled in the intermediate level. It is expected that at least 30% of the participants in the basic level would move to the intermediate level. The activities to be undertaken include;

i. Training workshops:

This will be an introduction to entrepreneurship and small business start-up and management. Topics to be treated in the basic level includes What is Entrepreneurship, Accessing Entrepreneurial Abilities, Business Opportunity Identification and Generation, Steps in Starting a Business, Avoiding the Pitfalls in Starting a Business, Forms of Businesses, Selecting the Appropriate Form of Business, introduction to business planning etc.

ii. Information seminar:

As part of the entrepreneurship training, at least a day will be set aside for trainees to interact with Institutions that regulate the Business Environment. These include Food and Drugs Authority, Ghana Standards Authority, Registrar General’s Department etc. (focus on Business Regulatory Compliance requirements).
iii. **Networking with selected experienced Young Entrepreneur(s):**

During the course of the workshop, the trainees will be introduced to young person in Business. They will share their experiences to serve as a lesson and motivation for the trainees.

**B. Intermediate Level:**

Participants who successfully complete the basic level would be enrolled into the intermediate level which would run for a period of (10) ten days. Topics to be treated in this level includes Importance of Business Planning, Contents of a Business Plan, Conducting Market Research, Marketing Planning, Buying for Your Business, Financial Planning, Basic ICT specifically geared toward social media and market access, etc.

It is expected that at least 50% of the participants would complete a business plan which would be fine-tuned through an incubation process in the Advanced level.

Successful participants would be earmarked for business start-up grants after completing the Advanced level.

**C. Advanced Level:**

Participants who successfully complete the intermediate level would be enrolled on the Advanced level expected to run for a period of fifteen (15) days. This group will benefit from various training modules through an incubation process to build their managerial and entrepreneurial skills. These would mostly be need based. Key activities will include;

1. **Business Incubation:** The training curriculum will but not limited to Kaizen, Digital marketing, Financial management, Business Modelling, climate change mitigation and adaptation, occupational health and safety.
2. **Networking events:** this is aimed at improving the peer to peer learning and to open up opportunities for market. The networking sessions will bring together all Trainees to socialise and interact amongst themselves and with relevant stakeholders and Entrepreneurs
3. **Support trainees to attend Trade shows/Exhibitions**

4.1.11 **Coaching and Mentoring**

All advanced training participants will receive mentoring and coaching support. This support encompasses guidance to finalise business plans, meet business registration and licensing requirements, and connect with input and output markets and test their products and services. Short duration internships, mentoring and guidance sessions will be arranged for selected beneficiaries.

Sub-activities will involve: identifying skilled crafts persons, business experts and successful entrepreneurs in various fields and establishing relations with them to serve as mentors and coaches.

4.1.12 **Business Start-up Grants**

The Business Start-up Grant will deploy financial support to selected youth who successfully undergo training up to the intermediate level. The SME Business Start-up Grants will be provided as either (i) “SME Cash Grants” to serve as working capital to run their business (ii)
“Regulatory and Formalization Grants Support (RFGs)” for selected start-ups to pay for business registration and licensing fees to enable them formalized their business with the necessary regulatory agencies or to purchase ICT business solutions (iii) “Start-up Kits Grants” for selected youth to purchase the needed tools, equipment and technologies.

4.1.12.1 Governance & Management

The figure below illustrates the structure for governance and management of the Project’s SME Business Start-up grant program:

![Institutional Framework – Business Start-up Grant](image)

4.1.12.2 Project Oversight and Grant Management

NBSSI as the technical implementing agency (TIA) for the Business Start-up Grant Program shall set up A Grant Committee (GC) in house to supervise the grant implementation. The PCU shall support the recruitment of the additional Experts for the Grant Management Team (GMT) to be embedded in, and operate from, NBSSI to execute the Business Start-up grant program.

Grant Committee (GC)

The overall function of the GC is to ensure that the Business Start-up Grants program becomes an efficient instrument for helping Ghana’s youth to start an enterprise, increase productivity and become competitive. Grant decisions will be technical decisions made by qualified and experienced staff of NBSSI as well as private professionals with relevant expertise to ensure that grants are provided to the highest potential beneficiaries. The Grants committee shall come from within NBSSI and its structures as well as experienced individual from the private sector.

The specific functions of the GC are to:

- Ensure that implementation of the Business Start-up Grant program is in line with the objectives of GJSP;
• Establish a detailed policy and plan for dissemination of information regarding the procedures and operation of the grant program, ensuring that all potential target audiences have access to the required information;
• Establish detailed procedures for screening (including environmental and social screening of grantees' activities) and approval of applications to the GC;
• Establish basic quality assurance procedures for business development initiatives supported by the grant program;
• Monitor and regularly evaluate the relevance and quality of the business development initiatives supported by the grant program under the advance level of entrepreneurship;
• Recommend possible changes to the scope and operation of the grant program;
• Investigate and act on complaints received from stakeholders regarding the quality of business development initiatives supported by the grant program.

The GC consists of:
• A chairman, nominated by the Board of NBBSI with considerable knowledge of youth enterprise development;
• Two persons nominated by the Management of NBSSI not below the level of Director;
• An environmental and social management expert;
• One person nominated by PCU;
• One expert from private sector in small business development and adoption of technologies by businesses leading to growth and competitiveness, nominated by NBSSI.

Nominated persons must have proven commitment, knowledge and experience relevant to small business development. The Board of NBSSI approves the nominations and appoints the chairperson and members of the GC. The Board must aim at a fair gender balance of committee members. NBSSI shall designate an officer to act as secretary to the GC.

4.1.12.3 Management of the Business Start-up Grant Program

A Grant Management Team (GMT) comprising professionals and selected experienced and qualified staff of NBSSI shall be constituted to implement the grant program. A Team lead shall be nominated by the Management of NBSSI. Beyond the Team Lead, further personnel to be procured for the GMT will depend on the capacity and availability of personnel to be provided by NBSSI. The GMT shall work on the Regulatory and Formalization Grants (RFGs), Start-up Kits Grants and the SME Cash Grants that constitute part of the Business Start-up Grants Program for SMEs. The Environmental and Social Management expert of the PCU will support GMT in monitoring environmental and social safeguards issues. The GMT will be responsible for:
• program promotion;
• the selection of applicant-enterprises;
• appraisal and recommendations for grant approval and disbursement; and
• monitoring of support provision and program results.

A key GMT performance objective shall be to reduce constraints/delays from institutional/bureaucratic hurdles and ensure swift disbursements. The GMT shall advise the GC on grant awards and sub-project performance. The GMT shall be made up of the following technical staff:
• A Grant Team Leader, a qualified and experienced Staff of NBSSI with experience in small business development;
• Two grant officers seconded from within NBSSI to work on the Project, who shall be responsible for assessment of relevance and quality of proposals, grantee compliance, and project monitoring);
• One grant assistant to be seconded from within NBSSI structures;
• M&E Officer to be recruited
• Grant accountant to be recruited or seconded from within NBSSI structures; and
• Communication expert to be recruited
• Procurement Officer to be recruited to augment NBSSI Procurement unit
• An Environmental/Social Safeguards Specialist to be recruited.

Management of the grant program shall be divided into two overall functions, namely financial/administrative and technical.

The financial/administrative functions include:
• Managing grant resources as agreed with the PCU and International Development Association (IDA);
• Preparing financial reports on monthly and annual bases;
• Receiving disbursement requests from grantees and preparing financial payments;
• Assessing quotations for material purchases and tender processes where necessary;
• Updating and reviewing procurement practices where relevant;
• Updating disbursement records and ensuring that grantees submit their reports as per contracts; and
• Verifying that application of funds is in conformity with the grant contracts.

The technical functions include:
• Initiating and maintaining the grant cycle;
• Conducting outreach and sensitisation activities as needed;
• Preparing an annual activity plan for grant-related activities;
• Receiving and reviewing applications from potential grantees;
• Conducting technical evaluation of funding requests per the criteria defined in this manual.
• Developing contracts for successful applicants;
• Coordinating disbursements to, and project start-ups by, grantees; and
• Monitoring and evaluation of ongoing projects per the guidelines stipulated in this manual.

The GMT shall prepare quarterly progress reports and financial statements for consideration by the PCU and the management of NBSSI and shall, if required, undertake follow-up action.

4.1.12.4 Business Start-up Grant Program Funding Windows

The GMT shall operate the Business Start-up grant program under the following parameters:
<table>
<thead>
<tr>
<th><strong>Coverage</strong></th>
<th>Nationwide.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Effectiveness &amp; Duration</strong></td>
<td>Opens as early as next year for youth start-ups who undergo training up to intermediate level to apply for support</td>
</tr>
<tr>
<td><strong>Target</strong></td>
<td>Youth Start-ups with high potential to succeed in business, majority-owned by Ghanaians and operating in any of the non-resource-based sectors.</td>
</tr>
</tbody>
</table>
| **Applicant Requirements** | Eligibility criteria shall include, *inter alia*:
  (i) Start-up with a minimum of one employee (including the owner), will have operated for at least three months, and will have valid tax identification number and a valid National ID card or where partly owned by a foreigner, a valid National ID card. Must have undergone training up to intermediate level under the project
  (ii) A Youth between the ages of 21 years to 35 years with a viable business idea and undergone training up to intermediate level under the project
  AND
  (iii) Applicants will need to demonstrate:
    a. a commitment to undergo business development support activities as part of the advance level of the project and demonstrate commitment to grow their business
    b. an ability to manage the grant. The project will strengthen their capacity, as necessary.
    c. Commitment to register and formalized their business for growth
    d. Ability to demonstrate a need for start-up kits grants
    e. Eligible beneficiaries must have the required technical, financial management ability to manage environmental and social risks and procurement capacity to implement the grants in terms of the Cash Grants component.
    f. Applicant will need to submit a business plan to access Grant for working capital or business formalization or Start-up kits. |
| **Eligible Activities** | Business Start-up Grant shall be applied to:
  • purchase of machinery and equipment, or technology (software, process technology, etc.);
  • start-up business investments targeted at productivity and growth such as marketing and sales, innovation efforts, or operational efficiency;
  • working capital, such as purchase of raw materials and consumables, and payment of salaries, rents and other accounts payables;
  • payments for technical advisory services, training, and subscriptions to platforms for B2B interactions for key functions/sectors; and
  • Payment for regulatory compliance, e.g. RGD, FDA registration and license, GSA certification, Subscriptions and fees etc.
  • Start-ups seeking to provide essential goods that helps to mitigate against the impact of the COVID-19 pandemic or any other disease that may pose a threat the nation |
## Ceilings & Co-Funding Requirements
- Grants up to the GHS equivalent of US$1,500 will be provided;
- Start-ups seeking to start/shift/scale up production, or digitize services relating to the supply, of essential goods and services, emergency grant funding of up to the GHS equivalent of US$3,000 will be provided.
- The ceilings shall be reviewed and firmed in the course of implementation.

## Exceptions
Grant funds cannot be used for:
- any activities involving involuntary resettlement;
- any activities that would lead to conversion or degradation of critical natural habitats or their supporting areas;
- any activities that would lead to conversion or degradation of critical forest areas, related critical natural habitats, clearing of forests or forest ecosystems;
- activities involving the financing the rehabilitation or construction of dams or, any activities that depend on the performance of an existing dam;
- activities involving nuclear reactors and parts thereof and fuel elements (cartridges), non-irradiated, for nuclear reactors; and,
- goods intended for a military or paramilitary purpose.

## Grant Award Process
The process for award of grants is as follows:
- Eligible applicants will be invited to submit applications (either on rolling basis or multiple application deadlines based on circumstances at the time of implementation) to the GMT for consideration. Applications meeting the criteria for Business Start-up Grants will be reviewed in accordance with the guidelines in this manual.
- The Grant Committee will consider recommendations from the GMT, and their decision on which applications to approve and fund is final. The recommendation from the GMT will be based on objective criteria agreed with the PCU at the inception of the Grant Scheme.
- A grant agreement shall then be prepared based on the approved application. It will spell out details of the project, including implementation.

## Funds Flow Arrangements
- In the case of cash grants, 100% of the grant will be disbursed upfront.
- For each disbursement, the grantee shall submit a request, with supporting documentation, including a recent bank account details or mobile money accounts details
- Upon GMT approval of grantee disbursement request, NBSSI shall transfer the amount of the request to the intended beneficiaries in the case of cash grants
- Where third-party payment is indicated in the disbursement request (for payment of fees, rents, subscriptions etc) at the option of the grantee, the NBSSI shall pay the grant amount to vendor/service provider for procurement of supported goods, works, or services.
• In the case of Start-up kits, NBSSI shall have a centralized procurement system in place to procure various equipment and machinery for beneficiaries within each grant cycle.

### 4.1.12.5 Grant Cycles

#### Business Start-up Grants

The cycle for the Business Start-up Grant window is outlined below:

**Table 5. Business Start-up Grant Window Cycle**

<table>
<thead>
<tr>
<th>TIMELINE</th>
<th>STEPS/ACTIVITIES/ISSUES</th>
<th>RESPONSIBLE</th>
</tr>
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</table>
| From project launch to end of Month 4 | Pre-Business Start-up grant operations  
- Grant design and implementation  
- Designing of digital platform for grant operations with an inbuilt system for scoring applications.  
- Preparation of training/Technical Assistance (TA) materials for online delivery.  
- Online portal commissioning for grant operations | NBSSI/GMT |
| For each cycle of trainees under the project | Sensitisation & Advertisement of call for applications  
- Outreach campaign  
- Establishment of hotline and helpdesk  
- Update of project website | GMT/NBSSI |
| Submission of application | Acknowledgement of receipt of application and outline of next steps.  
Applications should be based on template provided by the GMT and must provide adequate information on the project to be funded. | Applicant/ GMT |
| Within 1 week of submission of application | Screening and review of application.  
- The screening will assess applicants for compliance with the Business Start-up Grant window criteria and eligibility of proposed project/activities for business start-up grant support.  
- As part of the screening, due diligence of the applicant will be conducted to verify all relevant documentations for the individual applicant and the existence of the business, and the feasibility of proposed commitments.  
- The possible outcomes at this stage are success (leading to a recommendation to the Grant Committee for consideration of application for the award of a Business Start-up grant), or rejection.  
- The applications will also be screened to assess their response to environmental and social risks. | GMT |
| To be completed no later than 2 weeks after submission of application | Decision on applications  
On basis of the recommendations by the GMT, the GC will approve/reject the individual applications. The Committee may ask for further evidence at its discretion. | GC |

No later than 3 weeks after the GMT has submitted recommendations
| No later than 1 week after the decision by the GC | **Inform applicants of the GC decision**  
- All applicants will be informed by the GMT about the GC’s decisions.  
- Applicants whose proposals have been rejected will be informed why the applications were rejected, the procedures for complaints, and options for revision and resubmission of proposals.  
- The GMT will conduct information meetings and offer individual guidance for successful applicants concerning project implementation procedures and the rights and obligations of grantees. | GMT |
|---|---|---|
| No later than 2 weeks after the GC’s decision | **Signing of grant agreement**  
Based on the approved proposal, a grant agreement will be presented to the applicant. The agreement will specify all legal, managerial, and financial details concerning the implementation of the proposed project. It shall also include conditions to ensure environmental and social safeguards compliance. | GMT |
| Timeline as per grant start-up plan | **Submission of first disbursement request**  
This step shall initiate actual sub-project implementation. | Grantee/ GMT |
| To be specified in grant agreement | **Monitoring report**  
The NBSSI and the GMT shall conduct monitoring of grantees to ascertain the use of start-up grants. | NBSSI/ GMT |
4.1.13 Grant Disbursement modalities

Grant size can vary based on a transparent, standardized formula, with absolute caps. Preliminary estimations indicate that the grant size is expected to range between US$1,000 and US$5,000.

As relevant, a portion of the grant will be made available in cash to the grantee, to be used as working capital and to pay for business registration and licensing fees.

As relevant, a portion of the grant will also be assigned for the purchase of needed tools, equipment, or labour-complementing, energy-efficient, and climate-smart technologies from certified technology suppliers, with advice and support from the Ministry of Environment, Science, Technology, and Innovation (MESTI). NBSSI will pay these suppliers directly.

Grant recipients will receive intensive mentorship and coaching and be subject to intensive monitoring to ensure compliance with the agreed business proposal and grant implementation plan.
4.1.14 Capacity Building

Under the Project, there will be capacity building for staff of NBSSI and selected Business Development Services Providers under the Project. All personnel will be trained and certified to ensure standardisation in the delivery of the various modules across the country.

All Staff of NBSSI involved in this project will undergo mandatory orientation/training on safeguards before embarking on an assignment or benefiting from any of the interventions.

The training will be extended to other stakeholders as well such as Business Mentors and volunteers. Topics will include Occupational Safety, Health and Environmental Management, Child protection, Gender Equality and Gender based Violence, Social Equity and Justice, Cultural Diversity and Environmental Sustainability among others. The training will be done bi-annually.

4.1.15 Institutional arrangements

The Executive Director of NBSSI shall be responsible for the overall implementation of the project. The Director, Entrepreneurship Development Department shall coordinate all Project activities and interventions in the sixteen Regions.

The Regional Manager of each Region shall coordinate the Project in their Regions whereas Heads of Business Advisory Centres (BACs) will oversee the implementation of Project activities in the various Districts.

The BAC Heads would also supervise training activities conducted by BDS Providers in their respective Districts.

The Ministry of Environment Science Technology and Innovation (MESTI) would be a partnering agency. MESTI will provide advice and support to grantees on labour-complementing, energy-efficient, and climate-smart science, technology, and innovation solutions.

4.1.16 Supervision, Monitoring, Communication and Reporting

**Supervision and Monitoring:** The process of M&E will guide NBSSI and the Project Coordination Unit towards the achievement of the Project objectives and broader employment creation outcomes, while ensuring overall compliance and accountability as required by The World Bank, Ghana Government and all stakeholders.

Key M&E instruments that will be applied to and guide and ensure effective Project implementation include:

- Annual work plans
- Annual performance plans
- Quarterly Action Plans
- Monthly, quarterly and annual reporting
- Project Implementation manuals
- Undertaking of supervision of project activities and annual reviews as appropriate.

Our measure of success is that at least 50,000 individuals will receive entrepreneurship training support, with at least 5,000 accessing competitive business start-up grants under this sub-project.

**GJSP PDO Indicator #2:**
• Percentage of entrepreneurship program participants that complete the program and have
  jobs at least six months after completion.
• Percentage of female entrepreneurship program participants that complete the program
  and have jobs at least six months after completion

**Intermediate Results Indicators by components**
The following indicators will be measured:
• Percentage of female offered entrepreneurship training, under Standardised, quality
  assured program
• NBSSI MIS operational and keeps track of individuals undergoing entrepreneurship
  training and individuals/groups selected to receive start-up capital grants

Statistics for PDO level indicators will be obtained from individual-level data, through a
contracted independent firm that will capture information on a sample basis from the second
year of project implementation. The MIS system to be deployed will enable NBSSI to obtain and keep
track of this data.

**Communication and Reporting:** The goal of the communication strategy is to raise awareness
on, disseminate and document Ghana Jobs and Skills Project (GJSP) interventions and activities.
Specific objectives are:
• Create visibility for GJSP program, implemented by NBSSI in line with Government of
  Ghana’s Africa Beyond Aid campaign
• Use NBSSI’s ongoing programmes and activities as an outreach platform for awareness
  raising on the project, in order to attract potential beneficiaries
• Effective dissemination of Project information and activities
• Use the Project as a platform to campaign to elicit behaviour change and encourage a
  long-term culture of gender positive and inclusive practices.
• Document and disseminate lessons, milestones and successes.

NBSSI will implement an elaborate Communication Plan to learn and share about what works.
• NBSSI will work to develop a communications strategy that enables us to prioritise
  research resources for focus areas that will advance broadly relevant knowledge about
  what works to promote women and men’s successful growth entrepreneurship and that
  recognises the World Bank’s leadership in convening and leading ground-breaking
  partners to deliver replicable and scalable initiatives for quality job creation for youth
• NBSSI would propose to collaborate on a dissemination strategy, to ensure wide
  coverage in academic and international development publications.
• NBSSI would work with our media partners and with the GJSP communications team to
  seek coverage.
• NBSSI would support young Ghanaian women and men participating in the program to
  share their voice in international fora.

NBSSI would leverage its strong media partnerships and with the Government of Ghana’s
communications team to achieve wide coverage of the GJSP partnership interventions and
drivers of success in Ghana.
4.2 Sub-component 2.2: Provision of competitive grants to private enterprises for expanded employment

4.2.1 Subcomponent Description

The project through COTVET will support at least 700 competitive grants offered to private enterprises (or groups or associations of enterprises) over the project implementation period through the Ghana Skills Development Fund (GSDF). These grants are expected to directly impact a total workforce size of at least 42,000 individuals. The project will support grants to private enterprises, including those with high growth potential, who may underinvest in upskilling their workforce and improving their business processes because of financial and knowhow constraints. Given that skills and technology can complement each other to enhance productivity and provide jobs, where needed, technological inputs will also be offered to grantees.

Using their grants in accordance with their proposals, enterprises can procure training services from accredited formal public or private training providers, and science, technology, and innovation (STI) services from public or private STI service providers. These services will include training and awareness-raising on climate change mitigation and adaptation, and health and safety. In addition, up to a specified percentage of the grant as detailed in Table 6 below, enterprises can be used to purchase training materials, tools, and energy-efficient, climate-smart equipment or STI inputs.

The main implementing agency for this sub-component is the Council for Technical and Vocational Education and Training (COTVET). The main partnering agencies are the Ministry of Environment, Science, Technology, and Innovation (MESTI) and the National Board for Small Scale Industries (NBSSI).

MESTI will provide advice and support to grantees on labor-complementing, energy-efficient, and climate-smart STI solutions. NBSSI, through its network of Business Advisory Centers (BACs), will provide facilitation and other support for the operations of the fund. It will also do the same for grantees during and after grant implementation.

4.2.2 Subcomponent Objectives and Disbursement Linked Indicators

Objective – To provide competitive grants to private enterprises for expanded employment through the implementation of the Skills Development Fund.

Narrative of DLIs

COTVET will assume responsibility for the Skills Development Fund and competitively procure a firm to run it based on a partnership between government, the private sector, and the World Bank over the next five years. COTVET, through the contracted SDF management firm, will administer five rounds of competitive grants, awarding at least 100 grants in the first year, 100 in the second year, 150 in the third year, another 150 in the fourth year and 200 in the fifth year. COTVET, through the contracted SDF management firm, will augment the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed. This will be done annually throughout the five years of project implementation.

Annex 1C presents the disbursement linked indicators for Subcomponent 2.2.

4.2.3 Target Beneficiaries and Geographic Coverage

The primary beneficiary targets for this sub-component include micro and small enterprises that
seek to grow their businesses in order to create more jobs and increase productivity. These enterprises could be drawn from the formal and informal sectors. Enterprises that develop innovations relevant to solving societal challenges have good opportunity to benefit from this sub-component, so are organisations that seek to advance their technologies and scale up their operations.

Micro and small enterprises (or self-formed groups of enterprises) irrespective of their formality status will be eligible for competitive grants. (New enterprises and/or enterprises that are less than three (3) years in existence will not be eligible). All calls for applications shall be accompanied by detailed eligibility requirements and criteria for selection of beneficiaries. However, enterprises in sectors with high-employment-growth potential and enterprises with strong female profiles (that is, female-headed enterprises or enterprises with a large number of female employees) will receive higher scores in the assessment.

The component activities will cover all 16 regions in Ghana. These regions are: 1) Northern; 2) Ashanti; 3) Western; 4) Volta; 5) Eastern; 6) Upper West; 7) Central; 8) Upper East; 9) Greater Accra; 10) Savannah; 11) North East; 12) Bono East; 13) Oti; 14) Ahafo; 15) Bono; and 16) Western North.

4.2.4 Institutional Arrangements and Mode of Implementation

The Government established a competitive fund (called the Skills Development Fund (SDF)) in 2009 to support skills development in, and improved business processes and performance of, enterprises. The first phase of the fund (SDF I) ran from July 2011 to December 2016, administered by COTVET and financed by the World Bank through the Ghana Skills and Technology Project (P118112) and Danish International Development Agency (DANIDA) through its Support to Private Sector Development I. Currently in its second phase (SDF II), the fund is financed by DANIDA and administered outside of the Government by a management firm contracted by DANIDA. SDF II was scheduled to close on June 30, 2020, but residual activities continued until December 31, 2020. The Government and DANIDA have agreed that the fund will be subsequently situated in the Government under COTVET, starting January 2021. The Government of Ghana and DANIDA have agreed on some transitional measures which will allow some of the current staff of the SDF management firm to stay on until March 31, 2021 when the fund is expected to be fully operationalized under COTVET. The third phase of SDF which will be financed by the Government of Ghana through the World Bank as part of this project will be known as the Ghana Skills Development Fund (GSDF).

GSDF will be the vehicle to operationalize this subcomponent. The drafting, laying before parliament and passing by parliament of the Legislative Instrument (L.I) for the Ghana Skills Fund Bill is key to sustaining the fund going forward. The L.I will outline clearly the purpose of the fund, financing sources of the fund, its management, the elements of sustainability that should be adhered and all other regulatory arrangements.

4.2.4.1 Institutional Arrangements

Inter-Sectoral Oversight Committee ("IOC")

The Government shall, within three (3) months from the Effective Date or any later date as may be agreed with the World Bank, establish and thereafter maintain throughout Project implementation, an Inter-Sectoral Oversight Committee ("IOC") for the GSDF within COTVET (as stipulated in the Education Regulatory Bodies Act, 2020 (Act 1023)), with a composition, mandate and resources further elaborated in this section, and satisfactory to the World Bank. The dedicated GSDF IOC shall be composed of relevant Government, private sector, and
development partner members and will provide high-level oversight and guidance for the fund. The GSDF IOC shall be the grant awarding authority of the Skills Fund. In this capacity, the GSDF IOC will approve all grants based on the standards contained in the GSDF Operational Manual and in this PIM.

The GSDF IOC shall have eleven members with the private sector having the majority. A private sector member will chair the committee. Government representation will comprise MOF, COTVET, MELR, NBSSI, and MESTI. Persons nominated to serve on the GSDF IOC must have proven commitment, knowledge and experience relevant to skills and technology development.

The overall function of the GSDF IOC is to ensure that the GSDF becomes an efficient and acknowledged instrument for strengthening the skills and competence base of the Ghanaian labour force, thereby making the Ghana private sector more competitive and improving access to gainful employment.

The IOC shall meet at least four times a year and shall have the following specific functions:

- Establish detailed policy and plan for the dissemination of information regarding the procedures and operation of the GSDF, ensuring that all potential target audiences have access to the required information;
- Establish an action plan on how to address skills shortages of trainees within the structured apprenticeship system and the formal and informal sectors, including upgrading of informal apprenticeship training;
- Establish detailed procedures for the screening and approval of applications to the GSDF;
- Establish basic quality assurance procedures for skills development initiatives supported by the GSDF;
- Monitor and regularly evaluate the relevance and quality of the skills training supported by the GSDF; and
- Investigate and act on complaints received from learners, parents/guardians, employers and other stakeholders about the quality of training, assessment, and award of qualifications of training initiatives supported by the GSDF.

To ensure the fund’s stability and sustainability, under the project, at an appropriate, agreed point in the project implementation period, the Government is expected to begin co-financing the fund.

Fund Management Consultancy Firm

COTVET will competitively hire a consultancy firm, financed by Component 4 of this Project, to manage and operate the fund. The GSDF Fund Manager has the overall responsibility for the operations of the GSDF and accomplishment of the planned outputs. The GSDF Fund Manager (consulting firm) will liaise with the GSDF IOC on all matters related to the grant element of the GSDF.

The firm to be recruited will be either domestic/international firm and the duration of the contract will be in sync with the life span of the project, that is five years. The process for the recruitment of the firm will be within the first six months after project effectiveness. This is necessary to avoid any delays.

GSDF Unit
COTVET will set up a GSDF Unit (within 6 months of project effectiveness) for the purpose of management and operation of the fund. The GSDF Unit via the consultancy firm shall be the secretariat to the GSDF-IOC. The GSDF Unit is responsible for all administration and logistic matters required to operate under the direct supervision of COTVET. The unit will secure the implementation in line with the project design, including the results framework indicating the planned outcome and outputs. The GSDF Unit will comprise of at least the following officers:

- A Fund Manager
- A Deputy Fund Manager
- 2No. Grants Officers
- 2No. Grant Assistants
- A Finance Specialist (FS)
- Finance Officers (Internal staff)
- A Procurement Specialist (PS)
- A Monitoring & Evaluation Specialist (M&ES)
- 4No. Monitoring & Evaluation Officers
- An Environmental and Social Safeguards Specialist (E&SS)
- An IT Specialist (internal COTVET staff)
- An IT Officer

The Fund Manager will be Responsible for:
- The overall management of the Fund;
- Provision of leadership and guidance to teams; manage, mentor, and periodically evaluate their performance; and
- Interaction with the Oversight Committee;

The Deputy Fund Manager will be responsible for:
- Grant administration;
- Supervision and implementation of grant agreements;
- Managing and monitoring grantees of GSDF;
- Ensuring that appropriate systems are in place for filing; and
- Preparing grant disbursement schedules and managing errors and delays.

The Grant Officers will:
- Supervise grant agreements;
- Manage grantees i.e.; receiving and screening reports from grantees and experience from field visits and interactions with grant beneficiaries to ensure that objectives are met; and
- Ensure appropriate reporting and filing systems are in place and regularly updated to enhance grant disbursements and management.

Financial Specialist will:
- Provide oversight for bank reconciliations, accounts, ledgers, and reporting systems;
- Ensure compliance with appropriate Generally Accepted Accounting Principles, regulatory requirements, budget and audit requirements;
- Manage the financial obligations on a daily basis, liquidity, asset-liability and the treasury; and
- Prepare quarterly reports and any other financial information and resolve any discrepancies as required.
The competencies required and responsibilities of the above officers is stated in the Terms of References attached as Annex 5.

The Finance Specialist (FS), Procurement Specialist (PS), Environmental and Social Specialist (E&SS) and the Monitoring and Evaluation Specialist (M&ES) will be the same officers who will also work on the Apprenticeship component of the GJSP (component 1) to be implemented also by COTVET.

The personnel of the GSDF Unit shall comprise of three (3) categories. These are the staff of the consultancy firm, the internal COTVET Staff and additional individual Consultants to be hired (who are neither staff of COTVET nor the Consultancy Firm).

- The Staff of the Consultancy Firm shall comprise of the Fund Manager, The Deputy Fund Manager, The Grant Officers, and M&E Officers.
- The COTVET Team will comprise of the Heads of Departments of Finance, Administration, Human Resource, Procurement, Information Technology (IT), Standards and Curriculum Development, Assessment and Accreditation, Planning, Projects, Research, Monitoring and Evaluation (PPRME) and Corporate Affairs.
- Additional individual consultants will comprise of all the Specialist that will also work on Component 1 (that is, the Apprenticeship component of the Ghana Jobs and Skills Project) as specified above.

4.2.4.2 Mode of Implementation

Grants will be made available through call windows for different types of enterprises according to formality and/or other criteria as discussed below and specified in Table 7.
1. **Window 1 (Formal Sector):** Window 1 will focus on skills development in the formal sector and is expected to focus on higher level skills to be provided by public or private training institutions *(who would be identified and certified by COTVET working in collaboration with employer associations)* in collaboration either with larger size employers or associations of a group of smaller size employers. A total amount of USD 28M is expected to be granted to a minimum of 280 SMEs. Applications would be expected to have a ceiling of USD100,000. The beneficiary employers and employer associations are expected to be in the lead position to define the content and duration of the training and provide a minimum of 20% of matching funding to the costs. This commitment for providing matching grant will be documented in a sub-grant agreement between COTVET and these entities and actual funding so provided reported in project financial reports. Training can be provided to a single employer with a sufficient number of trainees or to a number of employers with identical training needs. The employers will identify the training provider(s) to provide the training. If required, the GSDF will assist the employer to identify an adequate training provider. The training providers will be those that have a demonstrable capacity (knowledge, skill, practical experience, training facilities, and necessary machines/tools, the most current technology) to provide the training requested by the employers. While the grant agreement usually is with the employer requesting the training, funds for the provision of such training may be paid directly.

**Criteria for Selection for Window 1**

Companies to receive support under Window 1 must meet the following criteria:

- The company must be registered with the District or National Authorities and the Internal Revenue Service
- The company must provide proof of registration with the SSNIT
- The company must provide proof of registration with VAT
- The company must be operating in the formal sector in Ghana
- The employer(s) must demonstrate how the proposed skills requirements will benefit the company and how they will lead directly to increased productivity and competitiveness.

**Trainer Requirements**

Training providers contracted to undertake training activities in response to the needs of grantees must meet these requirements:

- The training provider must be registered by COTVET or be willing to do so
- The training provider must be a legally registered organisation
- The training provider must possess the equipment and facilities necessary to conduct the training at a level that satisfy the requirements of the company procuring the training
- The training provider must have adequately qualified and experienced teaching staff at its disposal
- The training provider must have the managerial capacity to manage the contract to be entered with the enterprise that receives the GSDF grant.
2. **Window 2 (Informal Sector):** Window 2 will focus on the MSEs in the informal sector. Due to the fragmented nature of the MSEs and the informal sector, intermediary institutions, such as trade associations of informal sector enterprises, public and private training and business support institutions involved in vocations skills and apprenticeship training, registered cooperatives, and other such groupings, including private training providers and NGOs, will be engaged to identify and coordinate training for the MSEs in the informal sector. In order to increase the cost-efficiency of the support, applications benefitting multiple MSEs are encouraged. Therefore, individual MSEs and associations or groupings of MSEs are expected to be applying under this window. An amount of USD 4M will be granted under this window. Two categories of grantees will be considered: i) groups of SMEs and ii) individual SMEs. The upper ceiling is expected to be US$100,000 for groups and US$10,000 per individual SMEs, with the expectation that the duration of training is within one year. USD 2M will be granted to 20 groups of SMEs (each group will comprise 25 SMEs, giving a total of 500 SMEs). Another USD 2M will be granted to 200 individual SMEs. Matching funding for these proposals will be limited to 10% of costs through in-kind support, internships and work opportunities to be provided to the trainees during the training period. Grantees can apply up to 20% of the grant to tools and equipment improvement.

**Criteria for selection for Window 2**

Associations and business organisations seeking support from GSDF under this window will be required to satisfy the following criteria:

- The main beneficiaries of the funding window are master crafts persons and artisans from MSEs
- Training must be responsive to the training needs of existing growth-oriented MSEs
- Training must support the acquisition of skills which lead to increased employment and sustainability in MSEs
- Training of the master craftsmen must include pedagogical issues and medium to-high-level skills upgrading for increased productivity and competitiveness
- The institution must show how the training will lead to increased productivity and competitiveness
- The support will strengthen the capacity of associations to cater for the interests of their members.

The training providers will be:

- Those that have a demonstrable capacity (knowledge, skill, practical experience, training facilities, and necessary machines/tools, the most current technology) to provide the training requested by the association or organisation of MSEs

3. **Window 3 (Training Innovations and Greening Grants):** The focus of this window is to develop new innovative models for delivery of training and new training concepts. Funding will be provided to innovative projects with a focus on productivity and competitiveness aligned with national priorities. Funding will focus on innovative proposals that respond to economic demand. Under this window, GSDF may provide financing to training such as public or private training institutes, higher education institutes, incubators, accelerators, technology centres, or business advisory centres - that may not have an explicit linkage with
a firm - for expenditure on training innovations. Innovative training is defined as training that is not readily available at the time of application. There are several ways in which training programmes or training concepts can be innovative. They may either cater for groups that have not been catered for before, the mode of training may be new in a Ghanaian context, or the actual content of the training may be novel. A total of USD 4M will be granted to 27 SMEs. This window would have a ceiling of US$150,000. This window would require a matching grant of 20%. Grantees can apply up to 20% of the grant to tools and equipment improvement.

Criteria for selection for Window 3

The requirements among others are:

- The applicants must be registered by COTVET or be willing to do so. The training provider must be a legally registered organisation.
- The applicants must have adequately qualified and experienced teaching staff at its disposal.

4. Window 4 (Science and Technology): Window 4 will focus on private sector growth and productivity improvements through support to firms to introduce new technologies and innovations into their business practices. Technology centers could be existing or new organizations that, on an ongoing and proactive basis, assist firms with the adoption of new technologies or innovations. Technology centers must have an objective of supporting productivity improvements across sectors through technology transfer, diffusion of innovation, quality improvements, and related training. All firms operating within the sector must be equally eligible to use the services of the technology center. Each technology center must demonstrate its capabilities to adapt and transfer appropriate, industry relevant technology and innovations to firms. Each technology center should seek to establish linkages with international centers of excellence operating in the same sector to ensure that technology centers function as conduits of the most current and appropriate technologies and innovations to Ghanaian firms. A total amount of USD 4M will be granted to 16 institutions and enterprises. The ceiling for this window will be US$250,000 per grantee and it requires a matching grant of 20%. Grantees can apply up to 90% of the grant to tools and equipment improvement. Institutional “technology centers” will be required to transfer technology to firms. Funds provided from this window can be used by grant recipients for expenditures such as goods, works and services that are documented in sub-grant agreements. All firms regardless of size and ownership structure will be eligible.

Criteria for selection for Window 4

The requirements among others are:

- The company must provide proof of registration with the SSNIT
- The company must provide proof of registration with VAT
- The company must be operating in the formal sector in Ghana
• The company must indicate the technology to be advanced and how technology transfer will be effected
• The company must indicate how the technology will lead directly to increased productivity and competitiveness.

Table 6 below summarizes the categorization of the grants under the four unique windows and their ceilings.
### Table 6. GSDF Grant Windows and Calls for GSDF

<table>
<thead>
<tr>
<th>WINDOW</th>
<th>DESCRIPTION</th>
<th>NARRATIVE</th>
<th>GRANT CEILING (USD)</th>
<th>MATCHING CONTRIBUTION</th>
<th>CEILING for TOOLS/ EQUIPMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Formal Sector Training Grants USD 28M for 280 SMEs</td>
<td>This component will focus on skills training of the beneficiaries in the formal sector</td>
<td>100,000</td>
<td>Cash (20%)</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>Informal Sector Training Grants 2a. USD 2M for 500 SMEs (20 groups of 25 SMEs each) 2b. USD 2M for 200 individual SMEs</td>
<td>Skilling of the informal sector beneficiaries will require the use of some equipment.</td>
<td>100,000</td>
<td>In-kind 10%</td>
<td>20</td>
</tr>
<tr>
<td>3</td>
<td>Training Innovation and Greening Grants USD 4M for 27 SMEs</td>
<td>The introduction of innovations will come with some equipment needs.</td>
<td>150,000</td>
<td>Cash 20%</td>
<td>20</td>
</tr>
<tr>
<td>4</td>
<td>Technology Advancement USD 4M for 16 institutions and enterprises</td>
<td>This will focus on changes in technology that certainly is heavily dependent on equipment. The rest of the Grant will be for the training on the use of the equipment and its maintenance.</td>
<td>250,000</td>
<td>Cash 20%</td>
<td>90</td>
</tr>
</tbody>
</table>

These ceilings will be communicated to the business community and would guide the applicants in completing their application forms.
The fund will issue formal calls for applications. Over the project implementation period, at least four annual calls are envisaged. While calls for applications will be open to application from all types of existing micro and small enterprises, enterprises in sectors with high-employment-growth potential and enterprises headed by and/or employing high proportion of traditionally vulnerable groups (that is, female-headed enterprises or enterprises with many female employees, PWD-headed enterprises or enterprises with many PWD employees, and enterprises from high poverty index districts) will receive higher scores in the assessment.

The implementation of the GSDF Grant will go through several processes before the grants are eventually released for the Grantees. These are summarized in Table 7 below.

<table>
<thead>
<tr>
<th>S/N</th>
<th>ACTIVITIES</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td><strong>Transition Activities</strong></td>
<td>COTVET</td>
</tr>
<tr>
<td></td>
<td>1. SDF II Staff availability in the first quarter of 2021</td>
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<tr>
<td></td>
<td>a. The Danish Embassy has agreed to extension of contract of</td>
<td></td>
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<tr>
<td></td>
<td>key staff of SDF II Secretariat.</td>
<td></td>
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<tr>
<td></td>
<td>b. The key staff whose contract have been extended include the</td>
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<td></td>
<td>Fund Manager, Financial Controller, and the Deputy Fund manager.</td>
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<td></td>
<td>This is to allow for availability of sufficient manpower</td>
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<td></td>
<td>to execute the outstanding activities until the GSDF Unit at</td>
<td></td>
</tr>
<tr>
<td></td>
<td>COTVET is fully functional.</td>
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<tr>
<td></td>
<td>2. Procurement of programme management software - SMARTMe</td>
<td></td>
</tr>
<tr>
<td></td>
<td>a. Per the software contract arrangement, SMARTMe cannot be</td>
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<td></td>
<td>transferred to CoTVET or any institution but only the data that</td>
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<td>has been captured into the software belongs to the project and can</td>
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<td></td>
<td>be transferred to CoTVET.</td>
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<td></td>
<td>b. DANIDA can facilitate the dialogue between the software</td>
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<td></td>
<td>company and CoTVET for further discussions on renewal which</td>
<td></td>
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<tr>
<td></td>
<td>will come at a cost.</td>
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<td></td>
<td>3. The use of the legacy software installed on COTVET’s system has been</td>
<td></td>
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<tr>
<td></td>
<td>agreed by both parties (COTVET and DANIDA)</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td><strong>Sensitisation</strong></td>
<td>GSDF Grants Specialist</td>
</tr>
<tr>
<td></td>
<td>- Outreach campaign (with special attention to female-headed and PWD-head</td>
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<td>ed enterprises and enterprises located in high poverty areas)</td>
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<td></td>
<td>- Establishment of hotline</td>
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<td></td>
<td>- Update of GSDF website</td>
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<tr>
<td>2</td>
<td><strong>Call for Concept Notes</strong></td>
<td>GSDF Grants Specialist</td>
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<td>- Adverts (TV, radio, newspapers etc.)</td>
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<td></td>
<td>Prospective applicants should be given at least 3 weeks to complete</td>
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<td>Concept Notes and submit the required documents online via the Grant</td>
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<td></td>
<td>Management System</td>
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<td>3</td>
<td><strong>Screening of Concept Notes</strong></td>
<td>GSDF Team</td>
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<td>The screening will assess whether the applicant is within the target</td>
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<td>groups of the SDF and the proposed project/activity is eligible for</td>
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<td>support. The screening will also determine the Window under which the</td>
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<td>proposed project is eligible for support. Eligible applicants will be</td>
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<td>given the formal application form to complete.</td>
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<td>For those rejected, the notification will include the reason for the</td>
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<td>rejection and</td>
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<td>Information on grievance procedures.</td>
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<td>4</td>
<td><strong>Completion of Application forms</strong></td>
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<td>A pool of GSDF Intermediaries (service providers) is available to assist prospective applicants who would like to take advantage of the service of these.</td>
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<td>5</td>
<td><strong>Evaluation of applications</strong></td>
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<td>All proposals are subject to an evaluation by external technical evaluators, using a Technical Evaluation scorecard. Each proposal must be scored by 2 technical evaluators. If there is a tie in the score, a third evaluator must be enlisted to determine whether the application eventually passes or fails.</td>
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<td>6</td>
<td><strong>Due diligence</strong></td>
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<td>The purpose of the due diligence is to verify the de facto existence of the applying organisation and the correctness of the information submitted to the GSDF. The due diligence, which is conducted by <strong>GSDF staff members</strong>, involves a physical visit to all applicants. <em>Following the evaluation and the due diligence, the GSDF Office may request an applicant to provide additional documentation or adjust the applications in order to fall in line with the GSDF guidelines.</em></td>
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<td>7</td>
<td><strong>Safeguard assessment</strong></td>
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<td>Selected applications (as may be applicable) will be subject to an environmental, social, health and safety impact assessment by the Ghana Environmental Protection Agency on the basis of the Government’s environmental protection guidelines.</td>
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<td>8</td>
<td><strong>Recommendation to GSDF IOC</strong></td>
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<td>On the basis of the evaluation, the GSDF Manager recommends to the GSDF IOC whether a proposal should be approved. While the IOC will receive all relevant documentation, each file will be equipped with a summary containing the key information.</td>
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<td>9</td>
<td><strong>Decision on applications</strong></td>
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<td>On basis of the recommendations by the GSDF Fund Manager and the documentation provided, the GSDF IOC will approve or reject the individual applications. Experience shows that the GSDF IOC in many instances finds that an application needs to be further substantiated or the proposed activities modified. Therefore, an important task of the GSDF Manager is to follow-up on these provisional approvals. When the applicant whose proposal is approved provisionally submits additional clarifying information in response to the GSDF IOC’s request, the GSDF Unit, when satisfied with this response, will prepare a letter indicating so, to the Chairman of the GSDF IOC. This must go along with a detailed budget and the responses from the applicant. The Chairman will then indicate by signing on the recommendation letter to signal approval or rejection (or in rare cases request for additional information). The Chairman can also reject the provisionally approved application if the responses fall far short of expectation. Chairman must of course offer reasons for his/her decision. <em>All applicants will be informed by the GSDF Fund Manager about the GSDF IOC’s decision. Applicants whose proposals have been rejected will be informed why the application was rejected and the procedures for complaints.</em></td>
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<td>10</td>
<td><strong>Signing of grant agreement</strong></td>
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<td>Based on the approved proposal, a grant agreement will be prepared by the Financial Controller/Procurement Officer and presented to the applicants. The agreement will specify all legal, managerial, procurement and financial details concerning the implementation of the proposed activity.</td>
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</tbody>
</table>
Prior to the signing, the GSDF Manager conducts training for all successful applicants concerning GSDF implementation procedures and the rights and obligations of grantees, including procurement, financial management and monitoring procedures. Attendance of the training is mandatory.

| 11 | Collection of baseline data
For monitoring purposes, the M&E Specialist will collect baseline data from all approved projects.

_A third-party firm will collect information for a subset of the approved and rejected applicants, based on agreed sampling procedures, to conduct the impact evaluation of the GSDF._

| 12 | Disbursement of grants
Based on the agreed disbursement plan, the grant will be released in tranches. Before the release of the second instalment, a monitoring visit will take place. _Different disbursement procedures apply for the different Windows._

| 13 | Grantee reporting
The grantees must submit monthly and quarterly reports in accordance with their grant agreement, usually prior to the release of the next tranche. This report will indicate the deliverables achieved and the expenditures made or financial reporting.

| 14 | Monitoring and evaluation
SDF staff will conduct ad hoc spot checks to grantees in order to assess progress of the planned activities and ensure these follow the grant agreement. The M&E Specialist will conduct regular monitoring visits to all grantees. _When misconducts are observed, the GSDF Manager will immediately report the matter to the COTVET, follow up on this and recommend to the GSDF IOC to take the necessary action._

| 15 | Grant closure
Upon completion of the planned activities, the grantee will have to submit a completion report summarizing the achievements of the support as well as a final financial statement as per the Grant contract.

| 16 | Auditing
All grants are subject to regular auditing by the GSDF Unit. Furthermore, the GSDF Office is subject to annual external audits, which include spot checks of grants given by the GSDF.

| 4.2.5 | Grant Applications Procedures
Enterprises will apply by submitting information to assess their fit and potential, including their prospect for employment growth. The application and assessment process will consist of four stages, following specified, standardized guidelines, forms, and criteria (all criteria are expected to be pertinent, transparent, and objective).

The four stages are:

1. Submission, assessment, and scoring of a brief preliminary expression of interest;
2. For preliminary expressions of interest with scores above a stipulated cutoff, the submission, assessment, and scoring of full proposals;
3. For full proposals with scores above a stipulated cutoff, unannounced visits by reviewers for a physical due diligence assessment of the enterprise; and
4. For enterprises that clear the physical due-diligence assessment, the fund’s oversight committee will make the final award decision.

*Occupational health and safety*. Applying enterprises will provide documentation on current OHS status, and this aspect will be examined as part of the application review process. All Grantees shall be required to ensure that all Occupational Health and Safety protocols are adhered to in their various institutions and enterprises as might apply and report on it appropriately.

The entire application and assessment process shall be administered through, and recorded in, the fund’s online grant management system.

### 4.2.6 Evaluation of Applications and Scoring

All proposals are subject to an evaluation by external technical evaluators, using a Technical Evaluation scorecard. Each proposal must be scored by 2 technical evaluators. If there is a tie in the score, a third evaluator must be enlisted to determine whether the application eventually passes or fails. A cut off score of 70% will be established to qualify applicants to the next stage of the process. (For firms that are from districts below XX poverty index, owned by females and by persons with disabilities (PWDs), the Steering Committee may make some concessions in the selection process, based on the case presented by the SDF Secretariat.). This shall be subject to annual review by the GSDF IOC as necessary to achieve project objectives.

<table>
<thead>
<tr>
<th>Table 8. Evaluation of applications and scoring criteria for GSDF</th>
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<tbody>
<tr>
<td><strong>APPLICATION ASSESSMENT GRID</strong></td>
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<tr>
<td><strong>SECTION</strong></td>
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<tr>
<td>1.0 Relevance of the training/technological innovation</td>
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<tr>
<td>1.1 How relevant is the training/technological innovation to the SDF’s objectives?</td>
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<tr>
<td>1.2 How relevant is the training/technological innovation to the addressed needs or constraints?</td>
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<tr>
<td>1.3 How relevant is the proposed training/technological innovation to the identified needs? And to reach the final situation?</td>
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<tr>
<td>1.4 How relevant to the results and impacts to the beneficiaries?</td>
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<tr>
<td>1.5 Does the application contain specific elements of added value?</td>
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<tr>
<td>2.0 Technical quality and methodology of the training/technological innovation</td>
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<tr>
<td>2.1 How coherent and efficient is the methodology to successfully achieve the desired results?</td>
</tr>
<tr>
<td>2.2 Are the activities proposed appropriate, practical and consistent with the objectives of the training/technological innovation and expected results?</td>
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<tr>
<td>2.3 Are the implementation plan and budget for the training/technological innovation time bound?</td>
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<tr>
<td>2.4 Is the plan for the training/technological innovation clear and feasible?</td>
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<tr>
<td>2.5 Are the staffing and logistical arrangements relevant and efficient?</td>
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<tr>
<td>2.6 Does the application contain objectively verifiable indicators (and initial values) to monitor the progress, results and impact of the training/technological innovation?</td>
</tr>
<tr>
<td><strong>3.0 Sustainability of the training/technological innovation</strong></td>
</tr>
<tr>
<td>3.1 Is the action likely to have a sustainable impact on its beneficiaries?</td>
</tr>
<tr>
<td>3.2 Are the expected results and impacts sustainable and have potential multiplier effects or replication and extension of outcomes of the project? At policy level? The institutional level? Financially?</td>
</tr>
<tr>
<td><strong>4.0 The budget and cost effectiveness</strong></td>
</tr>
<tr>
<td>4.1 Is each proposed expense necessary and sufficient for the implementation of the training/technological innovation?</td>
</tr>
<tr>
<td>4.2 Are the ratios estimated cost/expected results and estimated cost/expected impacts satisfactory?</td>
</tr>
<tr>
<td>4.3 Is the contribution of GSDF cost-effective (in terms of cost sharing with other donors and training provider/technology centres)?</td>
</tr>
<tr>
<td><strong>5.0 The proposer’s operational and financial capacity</strong></td>
</tr>
<tr>
<td>5.1 Does the proposer have sufficient competences of training, technological innovation and financial management? Is there evidence of experience of similar assignments?</td>
</tr>
<tr>
<td>5.2 Does the applicant have sufficient technical expertise?</td>
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<tr>
<td>5.3 Does the applicant have sufficient capacity in terms of availability and workload of staff, equipment, etc?</td>
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<tr>
<td>5.4 Does the applicant have stable and sufficient sources of finance? Is there a genuine need for the fund to be undertaken?</td>
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<tr>
<td><strong>Maximum total score</strong></td>
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</tbody>
</table>

The project will continue to preferentially review applications from female-headed enterprises and enterprises that employ persons with disabilities throughout the grant application process including during concept screening and evaluation of full proposals.

Based on the evaluation, the GSDF Manager recommends to the GSDF IOC whether a proposal should be approved. While the IOC will receive all relevant documentation, each file will be equipped with a summary containing the key information.

### 4.2.7 Grant Disbursement Modalities

**Policy**

It is the policy of the Fund to disburse funds to grantees, in advance, in sufficient amount to allow the grantees to carry out the projects on a timely basis. The grant agreement shall specify the number of instalments and the size of each instalment. The GSDF Unit may withhold disbursements from grantees that are not in compliance with the terms of their grant agreements.
The GSDF will use a method of disbursement which will cause funds to be transferred to grantees in an expeditious manner and will facilitate accomplishment of the grant purpose and which is consistent with the need to safeguard government funds.

To help ensure that GSDF-provided funds are used and accounted for responsibly, the Fund will assess the financial and procurement management capacity of each grantee and provide training, where necessary, prior to the first disbursement of funds under a grant.

GSDF may make limited disbursements prior to the completion of training. Otherwise, GSDF will not disburse funds when the grantee does not have the capacity to use and account for the funds properly.

**Responsibilities**

It is the responsibility of the GSDF Unit, working both directly and through intermediaries, to ensure that grantees are aware of GSDF's disbursement policies and that requests for disbursement are reasonable and necessary given the size, scope, and schedule of the project.

**Disbursement Requests**

**Grantee Initiation**

All disbursements must be requested, in writing (through SmartMe), by the Grantee. The disbursement request should provide the following information:

- Name of the project
- Grant number assigned by GSDF
- Date the request is prepared
- Period during which the requested funds will be used
- Amount of GSDF-provided funds on hand at the time the request was prepared
- Description of the purposes for which the funds will be used
- Amount requested
- Place to which the disbursement should be sent
- Signature, name, and title of the person making the request.

Where the disbursement is to be made to a third party, the grantee must specify the name of the third party and certify that the payment is for items or services to be used in carrying out the grant agreement.

If the pro-forma for the selected vendor or service provider does not include pre-printed bank account information, a bank account confirmation should also be provided.

Grantees should submit disbursement requests to the GSDF Unit.

The grantee must be capable of effectively receiving, using, accounting for and reporting on GSDF funds.

The Financial Specialist will, based on his/her initial assessment of grantee capability, the results of the post disbursement training, determine whether grantees have the capacity to manage SDF grant funds or if additional training is needed.

The certification by the Financial Specialist that a grantee has the necessary capacity to receive, use, account for and report on GSDF funds means that:

- The grantee has established a separate bank account for the receipt of GSDF funds or the Fund Manager has waived this requirement in writing
The grantee has the knowledge, skills and abilities, either within the organisation or available to the organisation to record the receipt and use of GSDF funds on an accurate and timely basis.

The management of the grantee organisation has a clear understanding of the need for internal controls and has established such controls as required by the Fund.

The grantee understands the Fund's reporting requirements and has the necessary capacity to produce and submit GSDF financial reports on a timely and accurate basis. Similarly, the Financial Specialist/Procurement Officer will assess the procurement capability of the grantee in order to determine whether advice on how to conduct adequate, transparent procurement in line with the GSDF Guidelines.

**Grantee Bank Accounts**

Grantees are expected to establish a separate bank account to receive GSDF funds. The Financial Specialist may effect transfer of grants to the grantee’s account. To help guard against loss of funds in the banking system, the GSDF requires confirmation of the payee's bank account information from the bank to which the funds will be sent. No disbursement can be processed without this confirmation. In the case of third-party payees whose banking information is pre-printed on their invoices and the Fund receives an original invoice, bank confirmation may be waived.

**Processing Disbursement Requests**

The GSDF Unit has primary responsibility for reviewing disbursement requests from grantees. In carrying out the review, the Management will ensure that:

- The grant has been signed by both parties and has not expired
- The math is correct
- Funds requested are reasonable given the work plan and the financial reports previously submitted by the grantee
- Cash balances shown, plus the funds requested are appropriate given the work to be done over the next four months
- At least 3 pro-forma invoices are included for any intended purchase(s)
- Bank information is correct and, if new bank information is provided, that the bank account information is confirmed in writing by the bank
- The funds requested are available in the line-items requested
- All required monitoring visits have been conducted since the last disbursement request, except when waived in writing by the Fund Manager

The GSDF Unit will issue and sign a Disbursement Memorandum to state that the above review has been conducted, addressing any issues and stating that the disbursement request(s) is/are recommended for payment. The memo will accompany the disbursement request(s) and any necessary supporting documents.

**The Disbursement Request Memorandum**

The memorandum should indicate that the attached disbursement request meets GSDF's requirements and has been approved and must bear the signature of the Fund Manager. The signature indicates that, to the knowledge of the signatory, the appropriate review activities as described above have been carried out and that the disbursement is appropriate. In addition, the memorandum should clearly indicate the total amount of the grant excluding any audit funds,
the amount of previous disbursements received by the grantee or recently requested, the amount currently requested, and the projected balance of undisbursed funds remaining after the disbursement.

**Grant Expiration**

If the grant is within six months of its expiration date, the disbursement request memorandum should confirm that the funds requested are intended to be used by the grantee before the grant actually expires. Disbursements may be made after the grant agreement expires only to satisfy legal commitments entered into by the grantee during the grant period, to make any final payments due the grantee or to pay for audit services.

**Disbursement Database**

Before preparing the disbursement request memorandum, the Grant Assistant will enter the grant name, number, currency, amount of the request, date of the request memorandum, and any other required information into the financial management system.

The Financial Specialist is responsible for ensuring that approved disbursements are transmitted promptly and accurately and that sound quality control is exercised over the disbursement process.

**Recording Date of Receipt**

The Financial Controller will, daily, stamp and record the date a disbursement request is received directly on the Disbursement Request Memo and will enter the data into the financial management system.

**Disbursement Review**

The Financial Specialist will review each disbursement request memorandum to ensure that the memorandum has the form and content described above. The grants officer, by signing the disbursement request memorandum, certifies that the disbursement request meets all the Fund's requirements for disbursements and is appropriate for payment given the status of the grant. Thus the Financial Controller does not need to repeat this.

**Quality control**

To identify any systemic problems and ensure that the Fund's review of disbursement requests meets the internal control requirements of the Fund and is maintained at a high-quality level, the Financial Controller will, on a monthly basis, conduct an in-depth review of five percent of the disbursement requests received, chosen randomly. During the in-depth review, the Financial Controller will verify that GSDF's requirements for disbursements have been met, that the fund totals shown on the disbursement request memorandum are accurate and that other information in the disbursement request memorandum is accurate.

**Disbursement Approval and Payment**

Once a disbursement has been approved, the FS will include it on a spreadsheet with other disbursements approved for funds transfer. This spreadsheet will also contain funds designations by fiscal years and banking information for GSDF accounts. Once payment data have been transmitted to the bank, the bank will transfer the funds through the banking network, to the recipient bank. The FS will provide a printed report to the Grants Officer and keep a file, per schedule, of all transactions. The FS will enter the payment dates (value dates) into the financial management system.

**Other Means of Disbursement**
In some cases, electronic transfer of funds may not be the most efficient means of transmission. In such cases, the GSDF Unit may select an alternate mechanism including issuance of checks. The Fund Manager must approve such a decision on a case-by-case basis.

**Data Entry and Filing**

Upon completion of action on a disbursement, the disbursement transaction will be entered into Finance Software. The disbursement documents will then be transmitted immediately to the Grants Officer for placement in the project files.

**Notification and Acknowledgment of Receipt**

The Grant Officer is responsible for notifying the grantee that funds have been requested to be transferred to the grantee account or, in the case of third-party payments, to vendors or providers on behalf of the grantee. The grantee acknowledges the amount and date of receipt of funds, preferably in writing, to the GSDF Unit. When the GSDF Unit receives acknowledgment of receipt of funds, the Financial Controller will enter the date of receipt in the financial management system.

**Verifying Amounts Received**

A credit advice or copy of a bank statement from the grantee's financial institution must confirm the actual amount of funds received by the grantee. Any bank charges incurred in the transmission which result in reductions to the amount received are to be charged to the appropriate line item in the grant.

**Non-receipt of Funds**

The speed with which funds are credited to the grantee account depends in a large part on the banking system. The Grants Assistant should monitor the median elapsed time and, with the Financial Specialist, establish standard elapsed times between transmittal of funds and receipt in the grantee's account. Ordinarily, such standards should not exceed 10 business days from the date the funds are transmitted. If no acknowledgment is received by the GSDF Unit within the standard elapsed time from the date of disbursement, the Grants Assistant will follow up with the grantee. If the grantee states that the funds have not been received twenty days after the value date of the disbursement, the Grants Assistant should notify the FS who will follow up on the disbursement with the bank. The FS will, on a monthly basis, review the financial management system and report to the Fund Manager on disbursements that have not been reported as received after twenty (20) days. Based on these reports, the FS may take or recommend corrective measures in cases of recurring delays. Such measures include changing banks, discussing the situation with banking officials or, in extreme cases, suspending disbursements to a particular bank or banks.

The Fund Manager will forward the memorandum to the FS to determine whether such a substitute disbursement is appropriate, considering such factors as:

- Stated programmatic need for quick release of funds,
- Likelihood of recovering funds from the banking system,
- Mount of funds remaining in the grant, and
Alternate methods of disbursement available. The decision of the Fund Manager will be communicated in writing to the grantee. Grants Assistant will be responsible for advising the grantee. It should be noted that the Fund's responsibility for disbursing funds to grantees is completed once the funds reach the bank account designated by the grantee. If the funds are then subsequently lost due to bank failure, fraud, theft or other causes, it is the responsibility of the grantee, not the Fund.

**Final Payment**

Final payments need to be exact amounts to avoid disbursing funds in excess of the amount in the grant agreement.

**Payments to Vendors and Service Providers**

Payments to vendors and service providers through the banking system must meet all the criteria for third-party disbursements. The bank account must be in the name of the provider or vendor and must be confirmed before a disbursement will be made to that bank account. The submission of an original pro-forma invoice with the bank name and account number pre-printed on the form will be considered adequate confirmation if it matches the disbursement information submitted by the grantee. Disbursements to providers or vendors need to be exact and are subject to the same conditions that govern other payments described above. Upon execution of a third-party disbursement.

The objective of the Fund is to process disbursement requests within 20 business days from the receipt of the request at the GSDF Unit to the transmission of funds. As several offices are responsible for the processing of disbursements, it is necessary that each of them take the necessary steps to process disbursements in a timely fashion.

The following timelines will apply to the procession of financial transaction by the Finance Division:

- Rejection of a disbursement request will take place within 2 business days
- Approval of a disbursement request and return to the GA for processing will take place within 3 business days
- Transmission of bank transfers will take place within 2 business days of entry of the transaction into the system. The FS will monitor the times required to process disbursements and advise the Fund Manager on the Fund's performance and any areas in which improvement is needed.

**Recording Payments in the Grant File**

All disbursements must be recorded in the financial management system. This system will provide complete and current information on all disbursement actions. The FS will, from time to time, issue detailed instructions on the entry of disbursement data into the system.

**4.2.8 Capacity Building**

The project, through Component 4, will finance the procurement of goods and services for the capacity development of, and technical assistance and management support to, COTVET, MESTI, and NBSSI for ensuring satisfactory implementation progress in and performance of
project activities.

Specifically, the project will support technical, advisory, and capacity-building support for fiduciary; social and environmental management; administrative and operational; monitoring and evaluation; and information, communication, and engagement activities. Key capacity building activities include:

a. Consulting services to manage and administer GSDF

b. Consulting services for (i) annual rounds of field-based monitoring visits, (ii) tracer studies, diagnostic studies, beneficiary feedback assessments, and process and impact evaluations, and (iii) project progress and performance reviews

c. Goods and services for outreach, information, communication, and stakeholder and citizen engagement in relation to project activities in specific, and the Government’s skills development and job creation agenda in general

d. Consulting services for staff in the coordinating, implementing, and partnering agencies related to monitoring and evaluation, financial management, procurement, and environmental and social safeguards

4.2.9 Social and Environmental Safeguards

The potential environment and social risk and impacts associated with this subcomponent are expected to be minor, and may relate to the health and safety of workers, the communities and the public from activities funded by the GSDF. To address these potential risks and impacts from the project, an Environmental and Social Management Framework (ESMF) was prepared for the implementation of the project. The ESMF sets out the principles, rules, guidelines, and procedures to screen, assess, manage, and monitor the mitigation measures aimed at addressing the environmental and social impacts of project activities. The ESMF also includes an environment and social screening form and checklist (Annex 4) to be used to evaluate the associated risks and impacts of project activities. Throughout project implementation, the Government shall ensure activities under the project (a) are carried out in accordance with the ESMF and (b) do not entail involuntary land acquisition or give rise to affected persons.

The project will provide training and awareness-raising on climate change mitigation and adaptation to enterprises that receive grants. The training will educate grant-receiving enterprises on ways to improve resource efficiency including with energy and water consumption and ways to reduce greenhouse gas emissions.

Competitive grants for private enterprises will finance only workforce training and technology services and inputs. Despite the low-risk rating, the procedures and checklist for risk screening as set out in the ESMF will be used to identify, assess, and address notable social risks and impacts of project activities. The screening process will also identify opportunities for improving social performance of the project during the implementation of subprojects.

While the assessment of GBV/SEA risks as a direct consequence of the project was deemed to be low, nevertheless existing trends of GBV in Ghana suggest the project has the potential to facilitate SEA. To minimize and mitigate this risk, all actors engaged in the provision of training, grants, and other services will undergo orientation on gender, GBV, and SEA before participating in project activities. The orientation will provide relevant information about GBV and offer technical support to develop and adopt a Code of Conduct for program administrators, service providers, and beneficiaries. The code will prohibit SEA and clarify the existing institutional infrastructure for addressing notable risks in Ghana. In addition, training and capacity building activities of the project will include issues of GBV, SEA and Peoples with disabilities. The project’s Grievance Redress Mechanism (GRM) will include provisions and
facilitate project beneficiaries to report incidents of potential abuse and exploitation. The project’s GRM will allow those exposed to SEA to report cases through multiple options. The environmental and social safeguard specialists/focal persons in the project implementing agencies will be trained on gender, GBV, and SEA. Efforts will also be made to raise general awareness on gender, GBV, and SEA in the communities served by the project. Stakeholder engagement and consultation will also cover gender, GBV, and SEA issues.

4.2.10 Supervision, Monitoring, Communication and Reporting

4.2.10.1 Monitoring

Two streams of monitoring activities are envisaged under the GSDF. The first stream relates to monitoring through administrative and MIS data collection, while the second stream relates to data collection using an independent external firm. The project also plans to support M&E efforts by conducting an impact evaluation, details of which are currently under discussion.

The first stream of monitoring activities will be conducted “in-house” using the SmartME- a grant management system and using administrative data. SmartME platform provides MIS services and information sharing for grants administered through GSDF. SmartME will be used for (but not limited to) requesting and processing expression of interest and call for proposal, scoring and evaluating and awarding grants, obtaining implementation progress reports from all potential grantees, monitoring disbursement and training activities, checking compliance on OHS and other safety measures, and ensuring that all grant activities are on track.

COTVET will continue using SmartME from SDF Phase II to ensure consistency in data collection and reporting, facilitate analysis across the various phases of SDF and build upon synergies and lessons learned from the previous phases of SDF. COTVET will procure the requisite SmartME licenses to facilitate its continued usage under the project. The system will also be enhanced with new features and data collection points to help estimate the impact of grants on jobs outcomes of the firms and beneficiaries. SmartME will also be used to track periodic progress- reporting directly by grantees and recording of information through field visits. All relevant stakeholders (applicants, grantees, assessor, fund administrators, field-based support and monitoring staff, COTVET management and staff, fund oversight committee members) will be provided access to the system.

The system has strong integrity controls to ensure independence, transparency, accountability, and efficiency. For example, the various authorized users of the system are provided differential access and permissions, depending on their roles. All activities of authorized users and associated metadata are recorded.

SmartME will facilitate greater access, efficiency and transparency in the management of GSDF. The following points summarize the various steps in the grant cycle that will be administered through SmartME:

- Applicants submit concepts online and successful applicants are asked to submit proposals online.
- Proposals are evaluated online by experts serving as evaluators.
- Successful Applicants are informed of their success and requested to sign Grant contracts.
- A payment schedule is created and link payments to results indicators and milestones.

Upgrading Smart ME: The project aims to upgrade the fund’s monitoring system- Smart ME and orient it towards a platform that facilitates measurement of jobs outcomes through inclusion
of relevant data points and indicators. In order to do so, the COTVET team with support from World Bank colleagues will review the existing system and identify areas for improvement. This will include consultations with colleagues who worked on SDF Phase 1 and 2 and a review of lessons learned and best practices in grant management systems. Based on this review the team will design a plan to upgrade the system that proposes enhancement of the system.

The second stream of monitoring activities will be conducted using an independent third-party firm. These activities will include baseline, midline and end-line data collection for a sample of the grantees to measure outcomes related to profit, revenue, workforce size, among other, in addition to periodic beneficiary satisfaction surveys. COTVET will hire a third party firm to conduct baseline, midline and endline studies to support impact evaluation of GSDF as discussed in section 4.2.10.4 of this PIM.

GSDF will hire/appoint an M&E Specialist who will serve as the focal point for all issues related to monitoring and evaluation and work under the supervision of the GSDF Fund Manager. The GSDF M&E Specialist, with support from the PCU M&E Specialist and the WB will develop an M&E Plan to guide the overall M&E process of the fund. This plan will spell out the complete M&E process including the guiding principles, the indicators estimation methodologies, data collection strategy, M&E budget and work plan. The GSDF M&E Specialist will review the lessons learned from previous two phases of the SDF and improve upon the design of the M&E plan.

The M&E Specialist will also develop a multi-layer result-based monitoring system that will generate information and analysis that feeds into the reporting and learning system. The Results Framework (RF) will be based on a robust Theory of Change (ToC) that will take into account the Activities, Output, Outcome, and Impact and set of monitoring indicators based on this ToC; a baseline survey will be conducted to estimate the values of indicator before project implementation and progress on these indicators will be monitored and reported periodically.

A base line survey will be conducted at the beginning of the project by an independent third-party firm so that progress made can be adequately tracked and monitored. There will be mid-term evaluation and an end-term survey to determine the impact of the GSDF.

Monitoring will be conducted monthly to ensure that all deliverables are on track and iterations introduced when necessary.

The M&E system- Smart ME will allow collection of routine data on activities and output through standard data gathering tools (including field visits and self-reporting by grantees) as well as annual surveys and other methods to measure progress towards the achievement of outputs and outcomes, using specific and measurable indicators.

The results framework will show the lists of performance indicators (output and outcome indicators) which will enable the monitoring of progress towards project goal. For each indicator, the PMP shall include the definition, type, source, collection method, and frequency of data as well as tentative targets. The GSDF team will ensure that the M&E activities are carried out in a manner that guarantees data reliability and validity.

Monitoring of the PDO-level indicator associated with this subcomponent will be performed by a contracted independent firm. It will be based on a field-based survey of a representative sample of grant-receiving enterprises, based on agreed standardized data collection instruments and procedures. The frame for the sample obtained from the GSDF Grant Management System, used by the project. This activity will begin from the second year of project implementation.
4.2.10.2 Reporting

The reporting tools will be customizable to meet the needs of the grantee’s projects through an online platform. The online platform is a key part of the M&E plan and will be used to collect, analyse and report on the indicators included in the results framework, track progress of individual grants and GSDF overall and report to COTVET and WB teams on the activities of the fund. The GSDF M&E Specialist will work on updating SmartME, the existing online monitoring system and identify the areas where there is scope of improvement such as new indicators, estimation methodology etc. World Bank team will provide support in this area as well.

The platform will have the following features:

- Modern collaboration tools to ensure that all project information can be found in one place by GSDF staff,
- Repository for files and data storage (word, excel, PowerPoint, pdf etc.) including archive for Contract, Meeting notes, etc.
- Option for extraction of grantees information into excel format for analysis.
- It will capture detailed information on each enterprise, employees and services or products.
- Additional data collected by the GSDF team to inform specific result indicators (e.g. through surveys) will also be entered into the platform.
- As relevant, the indicator will also be disaggregated by gender, disability status, sector (formal and informal), geographical location (district and region) and other interest groups to help estimate the impact on target beneficiaries.
- The system will address project management and reporting needs and allow for online data entry, data storage and retrieval as well as for offline data entry.

The online monitoring system will also be updated to allow tracking of grants up to a year from the date grant closure to collect data on longer term impact on beneficiaries. This is a new feature and wasn’t included in the M&E plan or the online monitoring system. The M&E specialist will ensure that the online monitoring system is updated to allow tracking of grants after closure.

Reporting cycle will be designed keeping in mind the indicators that feed into the ISR reporting for the WB project. The team will provide progress on indicators as needed after performing quality checks.

The enterprise will report on OHS status and progress (and the implementation of the grant portion for OHS improvement) as part of the regular reporting to the fund.

4.2.10.3 Outreach, Marketing and Communication

Outreach by GSDF will strategically target the right audiences to ensure that eligible individuals and businesses are aware of the opportunity. Outreach by COTVET and the private SDF firm will be extended and intensified to solicit applications from preferred enterprise types and enterprises from more economically weaker regions and districts. Administrative information indicates that targeted outreach and affirmative action in the selection process under SDF II contributed to a marked increase in the share of enterprises with strong female profiles receiving grants.

Role of intermediaries

Under this subcomponent, the fund will continue to give preference in the selection process to proposals for training in female-run enterprises, including those in lagging regions, for training
in enterprises with a large share of female workers, and for training female managers. Using intermediaries, the fund will conduct targeted outreach to solicit applications, not only from female-run enterprises and enterprises with a higher share of female beneficiaries but also from enterprises that provide employment opportunities to persons with disabilities.

Prospective grantors from the aforementioned vulnerable groupings will be provided with more support by the intermediaries as they develop the proposals. In this respect, the role or performance areas of the intermediaries are as follows:

a) Work closely with the applicant to ensure they are familiar with the grant processes
b) Facilitate joint planning and review meetings with applicant and ensure timely gathering of all relevant information to prepare the application
c) Conduct all necessary due diligence and vetting of applicant’s documents identifying areas of weakness and creating correction for the applicant
d) Conduct field visits as necessary, coordinating inputs from the applicant in developing proposals.
e) Support the applicant to prepare activity plans and budgets for the grant activities
f) Lead in preparing the applicant’s proposal and assist the applicant to submit to GSDF for approval
g) Ensure timely submission of well-written, and well-documented grant proposals.
h) Update the proposal based on the feedback from independent evaluators
i) Update the proposal based on the feedback from the Grant Steering Committee to ensure closure of the grant facility
j) Participate in relevant capacity building activities organized by the GSDF Secretariat for improvement in support services to prospective applicants.

The Selection of the Intermediaries will be based on the following qualification and experience:

a) At least 5 years working experience in the fields of Project Management, SMEs, and development work in general.
b) Substantial experience working on a relevant grant-making project with private organisations, trade associations and training institutions in Ghana. It is desirable for the candidate to have experience in the relevant sectors the grant is targeting.
c) High level of relationship and communication management skills to build relationships with potential applicants
d) Demonstrated ability to be organized and flexible in an environment which requires continuous monitoring of priorities.
e) Exceptional attention to detail and able to manage confidential information
f) Strong written and oral communication skills.
g) Strong analytical skills.
h) Ability to work independently, manage competing priorities, meet tight deadlines and handle multiple tasks
i) Demonstrated skills in project planning, implementation and budgeting
j) University Degree in the relevant skills areas including Project Management or other relevant field. Masters degree preferred.

To prevent abuse by the intermediary consultants, a detailed contract specifying the ‘dos’ and ‘dons’ by the Intermediary Consultant will be developed and signed with the prospective Intermediary Consultant.

The GJSP Communication Concept 2020 reflects the above-described situation. It suggests that the target audience of the outreach, marketing and communication campaign will include:
- General public
- Development partners
- Women
- Persons with special needs
- Other government agencies
- Youth
- Opinion leaders
- Media
- TVET stakeholders

At the same time, the new GJSP Communication Concept suggests emphasizing activities that aim at increasing the understanding of the GJSP and at communicating the GJSP’s achievements in order to raise additional training funds and thus, scale up the success of the GJSP. This includes the use of marketing and communication medium such as:

- Diverse Print Media items that will be distributed and used in events and to raise awareness among the identified Stakeholders
- The core product of the marketing campaign will be a professional, high-quality documentary film.
- Photography during GJSP activities and Skills development activities organized by the Council.
- The use of digital media to promote the activities of the GJSP and to help change negative perceptions about TVET in Ghana.
- Radio, Newspaper and TV adverts about the curriculums that will be developed under the project to encourage TVET providers to obtain accreditation and Skills Development in general.
- The use of newspapers, radio, TV and online portals for media coverage during events about GJSP or funded by the GJSP.
- Organizing radio and TV interviews on the key activities and achievements of the project as well as to change negative perceptions and reinforce positive perceptions.

The Public Relations Officer (PRO) of COTVET and staff of the Public Relations Unit shall be responsible for all communication and PR activities. The GSDF communication activity plan is listed in Annex 10.

4.2.10.4 Impact Evaluation of the GSDF

During the first year of project implementation and drawing on funds available through Component 4, COTVET will contract an independent third-party firm to collect data on the profile of all firms that submit a full proposal to apply for grants through the GSDF. This data will be used as the baseline to conduct a rigorous evaluation of the impact of GSDF grants on various characteristics associated with enterprise growth. This may include but is not limited to enterprise size, revenue, profitability, and product expansion.

The impact evaluation will compare the GSDF grantees (treatment group) with comparable enterprises that applied but were not successful in receiving the grants (control group). One way to identify the enterprises for treatment and control group is to draw the sample for the study among firms who receive scores that are just above and just below the cutoff during the scoring of the proposals by the GSDF IOC. Detailed sampling procedures for the impact evaluation,
drawing on data from previous two rounds from SDF I and SDF II, will be prepared and outlined in a separate note after project effectiveness date.

The impact evaluation study will track the necessary indicators for the grantees through the project’s MIS. Information on the control group will be collected, through an independent firm, at baseline and 6-9 months after the grant administration process is completed.
CHAPTER 5: COMPONENT 3 – OPERATIONALIZATION OF THE GHANA LABOR MARKET INFORMATION SYSTEM, UPGRADING OF DISTRICT PECS AND SERVICES, AND INDEPENDENT PERFORMANCE REVIEWS OF GOVERNMENT YOUTH EMPLOYMENT AND SKILLS DEVELOPMENT PROGRAMS

5.1 Component Description

This component will be implemented by the Ministry of Employment and Labour Relations (MELR). The component aims to strengthen the availability of national, regional and district level labor market information to guide policy formulation and implementation. To achieve the component’s goal, it will focus on three main areas (i) finalizing the Ghana Labor Market Information System (GLMIS); (ii) refurbishing Public Employment Centers to ensure functional job intermediation services at the local levels; and enhancing public youth employment programs by conducting reviews of the programs and providing recommendations and/or technical assistance to support effective operations.

Specifically, the sub-component will finance:

i) Completion and operationalization of the GLMIS by:
   o providing technical assistance to complete the hard and software infrastructure of the GLMIS;
   o operationalizing the system within the MELR and its relevant departments and units, and within Public Employment Centres (PECs);
   o building the capacities of officers and users of the system;
   o promoting coordination among key stakeholders within the labor market system to provide and use data from the GLMIS;
   o sensitizing the public on the availability and use of the GLMIS;
   o developing periodic reports and publications on the status of the Ghanaian economy based on information gathered through the GLMIS; and
   o leveraging the GLMIS technology to provide a comprehensive and streamlined grievance redress mechanism to receive, track and resolve issues relating to the Ghana Jobs and Skills project, and larger labor market issues.

ii) Upgrading of 16 Public Employment Centres (PECs) to:
   o support the use of the GLMIS at the local levels (regions, districts and communities);
   o allow for the electronic upload, storage and dissemination of labor information at the local level; and
   o develop capacity of the PECs and Labor Officers to provide labor market intermediation services to clients, including job matching, counselling and career guidance.

iii) Conduct independent performance reviews of existing youth employment programs to:
   o maximize the coherence, efficiency, equity, and effectiveness of existing public youth employment and skills development programs; and
   o provide technical assistance to reform and strengthen their operations and service delivery.
iv) Undertake regular studies and assessment to provide knowledge sharing on labor markets issues in Ghana, and inform policy decision making on employment-related issues.

5.2 Target Beneficiaries

The target population for this component ultimately are any stakeholders who are interested in finding labor market data in Ghana. More direct beneficiaries will include:

- Job seekers
- Employers
- Public Employment Centers
- Youth employment programs
- Academia
- Think Tanks and Civil Society Organizations
- Private Sector
- Government ministries, departments and agencies
- International organizations and development partners

5.3 Coverage

This component will have a nation-wide reach, as one of its main elements is an online system of the GLMIS which will be available for any user across the country. Further, 16 PECs will be rehabilitated, one in each region of Ghana. These regions are: 1) Northern; 2) Ashanti; 3) Western; 4) Volta; 5) Eastern; 6) Upper West; 7) Central; 8) Upper East; 9) Greater Accra; 10) Savannah; 11) North East; 12) Bono East; 13) Oti; 14) Ahafo; 15) Bono; and 16) Western North.

5.4 Program Implementers

A technical team composed of a Project Coordinator, Procurement Specialist, Financial Management Specialist, Environmental and Social Safeguards Officer, MIS team, and M&E Specialist will be assigned to implement this component. The MELR Chief Director and Director of PPME will supervise overall implementation and will assign MELR staff to augment the personnel to form a core team for successful implementation. The organogram for implementation of Component 3 is provided in Figure 6, below:
Figure 7: Organogram for Implementation of Component 3
5.5 Key Staff

The following are the key staff who will be assigned to this component. (Note that for various subcomponents, additional staff may be included).

Project Coordinator

- Coordinate the implementation of MELR component of the project
- Lead the development of annual and quarterly work plans, which will be reviewed and approved by the Chief Director, and submitted to Ministry of Finance
- Lead the development of annual and quarterly reports
- Evaluate progress of action plans by reviewing, verifying and analysing work plans, quarterly reports, financial reports and other data for clarity, consistency and completeness
- Provide timely information on the project to the Director PPME and other partners to take appropriate actions to promote effective implementation of Project.
- Coordinate the various technical working groups and committees under this component, ensuring that technical and operational meetings are held for all activities.
- Liaise between the Ministry and the project to ensure successful implementation.

Communication Officer

The main responsibility of the Communication Officer will be to develop and implement strategies to communicate and promote the objectives and goals of activities under this subcomponent. The Officer will develop and implement strategies to raise awareness of various activities under this component including:

- Oversee/ supervise the design and production of a national Public Information Campaign for role of the GLMIS and the grievance redress mechanism.
- Develop needed guidelines and tools, as well as review tools produced for various communication activities.
- Work with the team to develop needed solicitations for youth employment program reviews.
- Contribute towards developing various policy documents, information briefs, and publications on employment gathered through the GLMIS data and various sources.
- Lead the development and maintenance of traditional and social media portals to promote this project under the MELR, including a website, Facebook, Instagram, Youtube channel, etc., and ensure that these sites are updated.

Environmental and Social Safeguards Specialist

- Develop an environmental and social safeguards strategy and framework for implementation
- Undertake screening as well as review of screening reports for sub-projects
- Lead in the implementation of the environmental and social management framework
- Facilitate obtaining both national and World Bank statutory safeguards approvals for all project activities and investments, as applicable
- Facilitate safeguards capacity development of relevant staff, actors/ stakeholders, including training on environmental, gender, social inclusion, occupational safety, etc.
- Manage the grievance redress mechanism system of the project, coordinating receipt, tracking and resolution of cases
- Maintain regular interaction with national and local actors to boost safeguards activities
- Report regularly and consistently on project safeguards activities, health and safety issues, compliance, challenges and mitigation strategies

Monitoring and Evaluation Specialist
The M&E Specialist will lead the implementation of all monitoring and evaluation processes of this component, including:
- Develop an overarching M&E framework to track performance of the MELR in relation to improved information on Ghana labor market outcomes
- Manage the framework, lead the collection and reporting of employment-related data
- Facilitate and automate collection of data from the monitoring systems of other labor-market and skills development entities for reporting through the GLMIS
- Contribute towards the development of periodic employment-related reports
- Facilitate the monitoring of project activities and progress towards achieving the project outputs
- Develop a standardized “monitoring tool” reporting format that will be used to guide monitoring
- Supporting digitization of operations and processes at both the national and decentralized levels
- Develop and strengthen monitoring, inspection and evaluation procedures
- Coordinate evaluation studies, as assigned

5.6 Subcomponent 3.1: Full development and operationalization of the GLMIS

5.6.1 Subcomponent Description
The Ministry of Employment and Labour Relations (MELR), in its capacity as lead policy advisor to Government on matters regarding employment and Labour relations is responsible for ensuring the availability of comprehensive labour market data to inform policy development as well as help determine programmes and interventions for dealing with matters pertaining to unemployment and job creation. The lack of regularly updated information on the labour market however undermines the effective implementation of employment generating policies. As such, the MELR, through a World Bank-funded project with the Ghana Statistical Services initiated the development of the Ghana Labor Market Information System (GLMIS).

The GLMIS was initiated to be an active labor market instrument for the collection, processing, evaluation and dissemination of labour market information. The GLMIS is a web-based portal intended to be accessible to stakeholders, especially, employers and job seekers across the country. It is designed as an automated, decentralised and integrated ICT infrastructure with front-end and back-end access to the relevant users according to the level of access required and the functions to be undertaken.
The main objective of the GLMIS is to: (i) provide regular, accurate and time series data on employment and labour-related information to guide policy, programme development and decision making; (ii) develop the institutional capacity of the MELR for implementing, coordinating and monitoring employment generating policies and programmes. The GLMIS remains a major priority of Government given the dearth in economic and labor data in Ghana. This project will therefore highly prioritize this task to ensure that the GLMIS is completed within the first year of implementation.

The full development, operationalization, and wide availability of the GLMIS for use have been hampered by insufficient financial, human, and ICT resources. An effective system also requires full deployment at the regional and district levels. Hence, this component will support the upgrade and full deployment of the system to churn out the required labour market information and to also serve a job connection functions. This component will also build the capacity of key users of the system including staff of MELR at the national and local levels to ensure that the GLMIS is used nationwide toupload and provide consistent periodic labor data, and maintain its job portal and other job intermediation capabilities.

5.6.2 Key Staff

The Organogram in Figure 6 (Section 5.4) provides the core staff for the GLMIS. These will include:

Statistician/ Data Analyst

The main responsibility of the statistician is to analyse, interpret, report/ present data collected from the field. Duties will include:

- Develop and implement a work plan for data cleaning, analysis and reporting
- Facilitate data collection, collation, data validation and storage of all data.
- Liaise with data collection and entry teams to ensure data received can be appropriately used for purposes outlined for labor market information
- Perform data analysis, interpretation and reporting in accordance with GLMIS guidelines and standards.
- Transmit data reports to the Monitoring and Evaluation Specialist.
- Facilitate/ coordinate staff for data entry, as required.

MIS Specialist

The MIS Specialist will oversee the entire software and hardware needed to operationalize the GLMIS and the grievance redress mechanism. Duties will include:

- Develop a user-friendly MIS system to operationalize the GLMIS and GRM systems
- Develop MIS process improvements for increased efficiency
- Maintain and support MIS activities
- Coordinate with cross-functional teams to resolve technology problems
- Provide technical support to ensure that hardware and software systems are fully functional
- Manage security administration activities for systems
- Create and generate reports in timely and accurate manner to inform decision making
- Conduct system training to appropriate staff on regular basis
• Manage system maintenance and security activities
• Train users on new applications and upgrades

Database Development Officer
The Database Development Officer is responsible for the performance, integrity and security of the GLMIS database. Duties will include:

• Establish the various user needs and monitor user access and security
• Map out the conceptual design for the database
• Monitor database performance and manage parameters to provide fast responses to queries from front-end users
• Control access permissions and privileges
• Develop, manage and test back-up and recovery plans
• Ensure that storage, archiving, back-up and recovery procedures are functioning correctly
• Communicate regularly with technical, applications and operational staff to ensure database integrity and security
• Commission and install new applications and customize existing applications in order to make them fit for purpose

The M&E Specialist will also play a crucial role in designing and facilitating monitoring and evaluation of the GLMIS.

5.6.3 Design and Upgrade of the GLMIS

This component will finance the completion of development of the GLMIS, as well as its full operationalization at the national and local levels. This will include the following activities (i) an assessment of the usability of the current GLMIS; (ii) systems configuration and upgrades, as applicable and (iii) establishment and maintenance of reliable internet connectivity; and (iv) development of offline capabilities to promote around-the-clock access and usage, particularly in rural areas.

The MIS team will first conduct a thorough technical review of the current system to recommend the necessary configurations and upgrades that will ensure optimal capability of the system. This will consist of a full needs assessment of the software for the GLMIS, as well as corresponding hardware that will be needed to ensure successful service delivery and utilization upon completion. Building off an existing monitoring review by the MELR, the team will engage in the following:

• Review the current capabilities of the system to confirm relevance, reliability, and whether they meet the objectives of the system
• Conduct interviews with key personnel at the MELR who will use both the backend and front end of the GLMIS (such as the labor department)
• Interview larger stakeholder groups who will be end users of the system such as the Federation of Disability Organizations, Association of Private Industries, and rural users
• Test the system based on information gathered from the interviews
Once the systems review is completed, the MIS team will then develop a road map with timelines to complete the development, which will also include recommending the staff needed to complete the task, within a one-year period. The configuration and upgrades will require consistent periodic testing and reviews by users to ensure optimal functionality.

Given that the GLMIS is a national tool which will need to be accessed in both urban and rural areas where connectivity will differ, a major gap in the existing system is lack of an offline version. As such, a main activity would be to develop offline capabilities for the system so that it can be used at all times and in the most remote areas, as needed. Additionally, for the GLMIS to cater to different stakeholders, the design of the system needs to take into account peculiar needs. Assistive technologies would need to be provided for people with disabilities to be able to access and use the system.

For the GLMIS to be most useful, it will need to include (but not limited to) the following modules (manuals will be developed, as applicable, to ensure that development of these modules are standardized, and maintenance protocols are development):

- **Data Collection and Input Module.** The module will allow for data entry into the system, information quality and accuracy checks. The module will allow for uploading of computer assisted personal interview (CAPI) information; data syncing, quality assurance, and deduplication and adjudication of data entered. Key indicators that will be collected, in line with standard labor employment indicators, will include (but not limited to):

  - Labour force participation rate
  - Employment to population ratio
  - Status in employment
  - Employment by sector
  - Part-time workers
  - Hours of work
  - Employment in the Informal Economy
  - Unemployment
  - Youth unemployment
  - Long-term unemployment
  - Unemployment by educational attainment
  - Time-related underemployment
  - Inactivity rate
  - Educational attainment and illiteracy
  - Manufacturing wage indices
  - Occupational wage and earning indices
  - Hourly compensation costs
  - Labour productivity and unit labour costs
  - Employment elasticities
  - Poverty and income distribution
  - Gender (male, female disaggregation)

- **Case Management Module.** The module which allows individuals and any other stakeholder to file electronic complaints or claims concerning labor issues and/or challenges with job intermediation services.
• **Data Sharing Module.** The module will allow ministries, departments, agencies and institutions request employment-related data. This module will include mechanisms for adhering to data protection protocols, designed as a way to guarantee the confidentiality and appropriate use of the information. The module will also allow institutions who provide data, also update the information they provide periodically (see data interoperability section). This module will comprise guidelines, schedules and the format in which the data has to be sent and/or received in order to be processed and updated.

• **Reporting and Monitoring Module.** This module will generate graphics and visuals showing various kinds of labor-related information.

• **Information Summaries.** Information summaries will be publicly available to increase the awareness about GLMIS data. This will maximize the benefits that can be reaped from the use of the system and available data by different organizations in the country. Examples of such summaries are:
  o Labor trends
  o Labor market statistics
  o Industry skills requirements
  o Conditions of work
  o Disaggregated data on employment (e.g. Youth, PWDs, women, educated, etc.)
  o Population age wise segregation

• **Labor Law Repository.** The GLMIS will also serve a repository for Ghana Labor Market regulations. It will provide a one-stop shop for identifying and reviewing all relevant laws in Ghana related to the employment sector. The GLMIS team will ensure that these the most updated versions of the laws are uploaded, and as new ones are available, these are included in the repository. Such laws guiding the labor market system include:
  o Labour Regulations, L.I. 632
  o Daily rated workers (Minimum Remuneration) Instrument, 1966 (E.I.14)
  o Factories, Offices and Shops Act, 1970 (ACT 383)
  o Statistical Services Law, 1985 (PNDC L 135)
  o Workmen’s compensation Law,1987 (PNDC L187)
  o Social Security Law, 1991 (PNDC L247)
  o The Free Zones Act, 1995
  o The Labour Act (ACT 651, 2003)
  o Fair Wages and Salaries Commission Act (ACT 737, 2007)
  o The Youth Employment Agency Act (ACT 887, 2015)
  o The NVTI Act (ACT 351, 1970)

5.6.4 **Provision of Hardware and Software for GLMIS Usage**

For the GLMIS to be fully utilized, beyond the software capabilities, it will be essential that all needed hardware are available. Additionally, the following will be required at the MELR’s Policy Planning, Monitoring and Evaluation (PPME) and Research Statistics Information Management
RSIM) Departments to be able to adequately use and/or monitor the information provided through the GLMIS. The Public Employment Centers will also be provided with the needed hardware (See Section 5.7). Accordingly, the following hardware items are projected:

- Servers
- Computers
- Furniture
- Vehicles

Procurement methods to acquire these hardware will be provided in the Procurement Section.

**Internet Connectivity.** Provision of energy-efficient information communication technology (ICT) infrastructure at the MELR and all refurbished district Public Employment Centers will also be crucial to ensure use of technology at the Ministry and its partners for the entry, analysis and reporting of employment data. However, as indicated, provisions will also be made for offline capabilities to ensure remote area access.

### 5.6.5 Data Integration and Interoperability

The operationalisation of the GLMIS requires that the system is linked with other government databases and that of key private players in the labor market. This will be important to feed data to and/or receive data from these entities, to make the data of the GLMIS conclusive for national use. To that effect, the MELR will conduct multiple consistent engagements to promote collaboration for data receipt and use. In particular, the Labor Department through the GLMIS team will be required to ensure that all stakeholders access data as needed, but also provide the data needed to make GLMIS most effective.

Among specific stakeholders directly related to the MELR who have employment data, data integration and interoperability of their MIS will be crucial. The latter will ensure that there can be easy access to raw data from these entities. The entities include:

- Ghana Statistical Service
- Youth Employment Agency
- National Identification Authority
- Ministry of Education Technical and Vocational Management Information System (TVMIS)
- National Board for Small Scale Industries MIS

Data sharing protocols according to guidance provided within the Ghana Data Protection Act will be developed and adhered to in order to maintain the integrity of data. For instance, personal identifiable information (PII) will only be shared over secure networks and will be password-protected. Protocols will also be established that will define which kinds of access to data will exist. For instance, the institutions listed above will have direct access, while others may require limited access, these will all be defined in the MIS Handbook. Private organisations who provide employment services will also be engaged to have their systems linked to the GLMIS. Decentralized systems will also be developed to ensure data to key stakeholders across the country. The GLMIS will not reproduce data that already exists, but rather work closely with agencies to receive data needed.

### 5.6.6 Data Security

Data that will be required to make the GLMIS most effective will include sensitive data on economic status, personal information, occupation, among others, mostly of individuals but also with firms. Additionally, multiple ministries, departments and agencies, as well as the private sector will provide
and/or receive data posing the risk of misuse or losing information, potentially exposing individuals to vulnerability. For example, if MELR fails to establish appropriate data protection mechanisms or forego data security protocols, the Ministry potentially exposes individuals and society at large to:

- **Personal harm**: Bodily harm; Loss of liberty, security, and freedoms; Economic damage due to the data’s commercial misuse (for example, companies use data to exclude low-income people from credit).

- **Intangible harm** (which can be established objectively): Discrimination or stigmatization; Embarrassment or anxiety to which publishing sensitive data gives rise; Unacceptable intrusion into private life; Reputational harm; Harm arising from exposure of identity, characteristics, activity, associations, or opinions.

- **Societal harm**: Political manipulation of the information; Excessive surveillance and control by authorities; Loss of social trust; Selling information to private companies without proper controls that protect public interests.

The receipt and distribution of GLMIS data will follow the rules and guidelines within the Ghana Data Protection Act 2012. The project shall implement appropriate institutional, technical and physical measures to protect personal data against accidental or unlawful destruction or accidental loss, alteration, unauthorized disclosure or access. Additionally, operationally, potential sources of harm will be explicitly mitigated to address the risks associated with processing personal data in the GLMIS. These will include:

- **Securing Personal Identifiable Information**. The GLMIS will take all necessary measures to secure personal data against risk of unauthorized access, by ensuring the following:
  - **Restricted access**: provide controls to authenticate and permit access only to authorised individuals and controls to prevent users from providing user personal identification information to unauthorised individuals who may seek to obtain this information by fraudulent means.
  - **Physical Security**: Access restrictions at physical locations containing information, such as buildings, computer facilities, and records storage facilities to permit access only to authorised individuals.
  - **Encryption**: Encryption of electronic beneficiary information, including while it is in transit or in storage on networks or systems to which unauthorised individuals may have access.
  - **Procedures**: designed to ensure that any modifications of the individual information system are consistent with the Data Protection Act
  - **Segregation of Roles**: Dual control procedures, segregation of duties and personnel background checks for staff with responsibilities for or access to information.
  - **Intrusion Detection Systems**: Monitoring systems and procedures to detect actual and attempted attacks on or intrusions into social protection data.
  - **Backup and Continuity Plans**: Measures to protect against destruction, loss, or damage of beneficiary information due to potential environmental hazards etc.

- **Granting private companies privileged access**. When entering into contractual agreements with the private sector, the MELR will establish the conditions of those agreements, including clear rules and responsibilities regarding the use of personal data to which they afford access, and redress mechanisms in case of information abuse or misuse. Users will have defined access levels to data, and these will be defined through an MoU between MELR and the respective
recipients.

- **Preventing Cyberattacks.** Factors like easy passwords, poor management, not updating software and untrained personnel make databases vulnerable to attacks and security breaches – increasingly pervasive.

### 5.6.7 Coordination Activities

As elaborated above, receiving data from key entities that have employment-related data will be key to ensuring the success of the GLMIS. Where data already exists, the GLMIS will serve as a repository for its use and will not collect new data. As such, the coordinating role on employment issues of the MELR will be crucial to the success of the GLMIS.

To boost these efforts, the MELR will establish and maintain a GLMIS Technical Committee composed of representatives from relevant ministries and private sector and civil society organizations to provide overall oversight and guidance for the use of the GLMIS, to include the receipt of data. The Technical Committee will be established within 3 months of initiation of the project, and will meet quarterly to define various activities including (i) development of data sharing protocols; (ii) sensitization and communication on provision of data to the GLMIS; (iii) oversight on data interoperability processes; and (iv) defining and approving organizations who will require direct data sharing.

### 5.6.8 Data Analysis and Reporting

The Statistician and M&E Specialist will lead the analysis and reporting for data that is gathered through the GLMIS. The MELR team, led by the Director of PPME and RSIM will facilitate the development of indicators that will need to be reported periodically. The GLMIS will include a dashboard that will provide graphics on various labor-related data. Reporting templates will be developed, and reports produced appropriately. Data will also be shared with various organizations based on the required data sharing protocols.

### 5.6.9 Key Stakeholders and their Roles

The GLMIS will require cross-sectorial and inter-agency collaboration, including a variety of stakeholders. Overtime, there will be many organizations who will need to be involved, including (but not limited to) Ministry of Education (MoE), Ghana Education Service (GES), Ministry of Trade and Industries (MoTI), Ministry of the Interior (MoI), National Development Planning Commission (NDPC), Ghana Statistical Service (GSS), Trades Union Congress (TUC), Labour Department (LD), the National Pensions Regulatory Agency (NPRA), Association of Ghana Industries (AGI), Ghana Employers Association (GEA), and the National Council for Tertiary Education (NCTE).

The key stakeholders who will provide data and/or receive data from the GLMIS on a regular basis and prioritized at the initiation of the GLMIS are provided subsequently. The MELR will sign memoranda of understanding (MoUs).

**Ministry of Finance (MoF).** The role of the MoF in the development and sustenance of the GLMIS is primarily to ensure that adequate allocation of funds is made to the MELR to enable it establish the system and carry out all the related functions. Particular to this project, the MoF will play a coordinating role to ensure smooth implementation of this project. The MoF will also play an instrumental role in supporting the development of indicators that will help shape the labor market data of the country, given their major role of developing budgets and financing programming.

**Ministry of Education (MoE).** The MoE oversees the activities of all educational institutions in Ghana and already has well-coordinated and functioning system that compile data on enrollment and
graduation at all levels of the education system. Data on vocational and professional training in terms of numbers of students enrolled and graduating are also collected. The Ministry will provide the MELR with relevant data that it collects for input into the GLMIS and collaborate in the determination of the system’s future data needs.

**Council for Technical and Vocational Education and Training (COTVET).** COTVET is the state institution responsible for the oversight and coordination of TVET in Ghana. COTVET is the implementing agency for component one of this project and supports the NBSSI with the implementation of component two of the project. Information on individuals trained under the project would be uploaded onto the GLMIS and other national databases, both public and private. This is to facilitate the process of job matching for beneficiaries by the PECs. The MIS of COTVET would be linked to the GLMIS using the appropriate protocols to enhance the development and usage of relevant labor market information on available skills for industry and national development. This will also inform policy on human resource development needs for the nation.

**Ministry of Trade and Industries (MOTI).** The MOTI is the lead policy advisor to Government on trade, industrial and private sector development with responsibility for the formulation and implementation of policies for the promotion, growth and development of domestic and international trade and industry. MELR will liaise with MOTI, as a key employment creation sector ministry and establish data sharing protocols on industry actors and their activities. Data/information on labor and working conditions would be provided to inform labour market policies and programs.

**National Board for Small Scale Industries (NBSSI).** The NBSSI was established in 1985 under Act 434 of 1981 as an apex body for the development of small-scale industries in Ghana. The NBSSI is under the MOTI. The NBSSI is the implementing agency for component two of the project to provide entrepreneurship training and competitive business start-up grants to beneficiaries. The Business Advisory Centres (BACs) of the NBSSI will collaborate with the PECs to ensure beneficiary data exchange and linkages for employment counselling and job matching. The MIS of the NBSSI will also be linked with the GLMIS for data sharing on businesses and their labor statistics.

**Youth Employment Agency (YEA).** The YEA was established by an Act of Parliament (ACT 887) of 2015 for the purpose of the development, coordination, supervision and the facilitation of employment for the youth and to provide for related matters. The functions of the Agency include: setting standards and procedures for the employment and career development of the youth in the country; training and providing the youth with the requisite skills for the labor market; facilitating and monitoring the employment of the youth in the country; developing guidelines for the implementation of an integrated and innovative national youth employment programme; serving as a one-stop shop for the employment of the youth and entrepreneurial development of the youth taking into consideration gender and persons with disability; and maintaining a database of youth engaged by the Agency. The MELR will work closely with the YEA to ensure the provision of data on youth employment, as well as its training programs, skills development modules and interventions for persons with disabilities for inputs into the GLMIS.

**Ghana Statistical Service (GSS)** is the national institution with the mandate to collect, compile, analyse and disseminate data on economic, social, and all aspects of Ghana’s development. The Service conducts establishment surveys occasionally and publishes such information in its periodic reports. It is the agency with the appropriate ground structures to conduct household and establishment surveys and has consistently conducted the Ghana Living Standards Surveys, some of which have a Labour Force component. A Labour Force Survey was also conducted by the GSS in 2015. The MELR will work closely with the GSS in determining the labor statistical needs of Ghana, how to collect, analyse and report such data. The GSS will be represented on the GLMIS steering committee.

**Information Services Department (ISD) and National Center for Civic Education (NCCE).** These
institutions will be key partners of the MELR in the implementation of various public information campaigns. Specific roles will be detailed through MOUs depending on the activity. But in general they will facilitate:

- Sensitization of stakeholders
- Development of roll out plans for disseminating information
- Use established methods to reach beneficiaries and their communities, as applicable.

### 5.6.10 Access to GLMIS and Social Inclusion

Given the important role of the GLMIS in providing comprehensive employment data, it will be crucial to ensure that the data captured encompasses all categories of persons. The GLMIS will therefore disaggregate all data by location (rural/urban), capability (educated non-educated); age category (youth, elderly, etc.), ability (persons with disabilities), gender (male, female), among others.

Additionally, it will be important to ensure that the GLMIS data is accessible to PWDs. As such, as part of the upgrading the GLMIS, the appropriate technology to assist PWDs access the system, navigate effortlessly and also make use of the services available on the system, preferably without needing the aid of others, would be incorporated. For instance, the GLMIS will have a braille option that will ensure that people with sight disabilities will be able to access it. Equipping the GLMIS with assistive technologies, with offline capability and app version, will expand accessibility to all people in the country. With a simple smart phone or analogue phone, people looking for information can have access to the system.

### 5.6.11 Communication

A GLMIS Dissemination, Communication and Knowledge Sharing strategy will be developed by the Public Affairs Unit (PAU) of the MELR, together with the assigned Communication Officer, to establish adequate platforms for knowledge sharing and information dissemination. The strategy will include sensitizing the public about the initiation of the GLMIS, why it exists and how it can be used; the publication and dissemination of periodic GLMIS reports (in hard and soft copies), and roll out of various dissemination events including town hall meetings, workshops and conferences, media engagements and social media posts. Based on the communications strategy, various communication tools will be developed. Where internal capacity is limited, service providers will be hired to develop various tools and graphics. These tools will be cognizant of various types of stakeholders – literate versus illiterate – and in various local languages, as applicable. Communication on the GLMIS will take place at the national, regional, district and community levels. At the decentralized level, existing traditional organizations and systems will be used as described previously including the ISD and NCCE. As previously stated, provision will be made for communication with PWDs.

Under the GSJP the online presence of the MELR through the GLMIS portal, the MELR website and other social media planforms will be strengthened to ensure consistent interaction with all stakeholders and the general public.

Personnel in the PPME, RSIM, LD and EIB will also be trained in generating reports from the GLMIS, as well as being able to respond to questions that may arise upon dissemination.

### 5.6.12 Labor Administration

The Labor Department of the MELR exists to undertake labor administration services and enforcement of the labor laws of the country. The Labour Act, 2003 (Act 651) provides for the establishment of the Labor Department and its functions. These include job matching, job counselling, workplace dispute
resolution, workmen’s compensation and generating reliable labour market information for policy formulation and national development planning.

Staff of the Labor Department will utilise the backend capacity of the GLMIS for their administrative and operational activities. To promote efficient service delivery, the GLMIS will enable digital processing of most of the processes that are currently processed manually. Labor Officers will first upload all manual data into the GLMIS to promote electronic data processing, tracking and reporting. Once this process is completed, all labor requests and issues will be processed through the GLMIS from initiation to final approval/conclusion stage. The system will also serve as a records management and storage system for the Labor Department. National, regional and district data/information will be stored and processed in the GLMIS to create a single-unit centre for national labour market information. Using the electronic system will promote availability of data on a near-real time basis, promoting efficiency and transparency in addressing labor issues, and reporting on labor statistics.

5.6.13 Ghana Jobs and Skills Project Grievance Redress Mechanism

The systems developed for the GLMIS will be leveraged to host a grievance and redress mechanism for the Ghana Jobs and Skills project. This portal will be shared between the implementing partners of the program – Ministry of Finance, MELR, Council for Technical and Vocational Educational Training (COTVET), and the National Board for Small Scale Industries (NBSSI). The Jobs and Skills Grievance Redress Mechanism system (JS-GRMs) will provide a unified complaints and grievance mechanism for beneficiaries of the Jobs and Skills project and will be leveraged overtime to support general labor and employment-related complaints. The MELR will be in charge of hosting the system and ensuring its proper functioning.

The JS-GRMs will:

- Serve as an entry point for beneficiaries with complaints and/or suggestions related to the Ghana Jobs and Skills project implementation, and other employment and labor issues to express their concerns
- Reduce time and cost of service provision by gathering information concerning programming in one repository
- Increase transparency and accountability in the operations
- Contribute towards monitoring of the project’s activities to ensure that implementation is in compliance with agreed upon rules and guidelines for the project.

The JS-GRMs will have an integrated complaint handling service where grievances are received via phone through toll-free lines and SMS. The MELR team will engage with the telecommunication organizations to receive toll-free lines so that beneficiaries can make calls or send SMS for free from any part of the country. The system will enable an organized identification of emerging issues and patterns, documentation of complaints, and establish timelines to address and close out cases.

To operationalize the JS-GRMs, the following will be finalized:

- development of the UCMS and receipt of toll-free lines
- development of protocols to receive, transmit, and resolve complaints
- design of the manuals to manage grievance redress processes by each program
- ICT infrastructure for the MIS (will leverage existing technology from GLMIS, and augment as needed)
• hire staff and operations for call center at MELR
• conduct sensitization activities to inform key stakeholders at the national, regional, district, and community levels of the GRM system and its use
• develop a robust referral system that will ensure that cases can be addressed within a timely manner

Unified Case Management System (UCMS). The JS-GRMs will have a UCMS, which will provide case management tracking functions, which have specified fields, including:

• Complaint tool
• Monitoring tool
• Classification of complaints
• Resolution document
• Reporting templates

Case Management officers from the various implementing ministries will have access to the secure web-based system to: (a) view complaints, (b) enter new complaints into the system, (c) classify complaints, (d) update what action has been or is being taken, and (e) update the status of the complaint, for example whether it is “open”, “closed”, etc. Different users will have different security access to this system, as required. For example, district and regional officers assigned to case management may log into the system and see limited information relevant to their geographical area.

Call Center. The JS-GRM Call Center will be a centralized office equipped to handle telephone, email and SMS requests on behalf of the Ghana Jobs and Skills project and other employment-related queries. The functions of the Call Center will include:

• Provide call center services such as receive and register calls on cases, view information updates and requests, etc.
• Provide a common point where information, complaints and updates are channelled to the appropriate ministries, programs, and/or agencies for redress
• Respond to information request and complaints
• Follow up with programs on resolution of cases
• Coordinate and manage the referral mechanism/ process
• Provide feedback to the beneficiaries about the resolution of their complaints

The goal will be to have a fully functional Call Center within one calendar year of the project’s initiation. In the interim, the safeguards specialist will manage cases. Hired staff will go through training to ensure that they can adequately respond to the regular project queries and effectively triage calls as they come through. They will also be trained to be sensitive to unique gender and cultural elements that could arise with responding to issues. The Call Center staff will be conversant in the main local languages in order to be most effective with responding to callers. The Case Management working group will work together to develop a robust referral system, which will be an online searchable portal of entities that would be able to provide first-hand support to general grievances. The referral system will be dynamic, and will be update consistently as cases are received and new entities to aid with resolution.
Sensitization. Once the JS-GRMs is fully functioning, it will be important to ensure that all stakeholders are aware of its use and know how to access it. As such, the communication and case management teams from MELR, NBSSI, and COTVET will develop a communication strategy which will outline the processes and tools for communicating to the public about the Ghana Jobs and Skills project, its activities, and how beneficiaries can submit grievances. The strategy will also include timelines for rolling out a national public information campaign. Once the strategy and tools are developed, the team will work with the National Information Services Department (ISD) and the National Center for Civic Education (NCCE) to undertake a sensitization campaign to ensure that project beneficiaries are aware about the opportunity and means to share grievances. At the decentralized level, the team will also engage the District, Community and traditional leaders to aid in sensitization and awareness campaigns.

Monitoring. The Case Management Working Group will lead or facilitate the implementation of periodic independent monitoring of the GRM system, including cases received, timelines, and resolutions.

Reporting. In order to ensure evaluation and improvement of the system, the project will monitor the process of GRM qualitatively and quantitatively consistently, over agreed upon periods.

The following key roles (Table 9) will lead the implementation of the JS-GRMs:

<table>
<thead>
<tr>
<th>Position</th>
<th>Key Role</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental and Social Safeguards Specialist (MoF)</td>
<td>Responsible for handling issues pertaining to environmental and social safeguards due diligence and implementation of redress measures and activities.</td>
<td>Provide leadership and oversight over resolution of environmental and social safeguards related grievances. Responsible for coordinating all safeguard activities and associated grievances with the World Bank, the EPA and implementing agencies, including safeguards grievance reporting and disclosures.</td>
</tr>
<tr>
<td>Call Center Coordinator</td>
<td>Assigned to oversee activities on a full-time basis.</td>
<td>Lead the implementation of the Call Center, Coordinate the work of all participating implementing ministries and agencies to ensure complaints received are resolved. Provide training and the day-to-day management of the Call Center. Monitor call volumes to ensure calls are handled within the appropriate timeframes and makes necessary adjustments to staffing when needs arise. Lead and coordinate the development of communication tools and JS-GRMs implementation manuals. Ensure staff have the adequate training (and retraining) needed to</td>
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The following monitoring activities will take place as part of this subcomponent.

- **Monitoring of Upgrade and Completion of the GLMIS.** To ensure completion of the GLMIS as scheduled and its effective operation, a monitoring team will be established under the M&E Unit of the PPME Directorate to monitor the completion and performance of the GLMIS. This monitoring unit will be led by the M&E specialist of the project, whose work support the system. Provide ongoing support and supervision at the national and field level to ensure quality and effective implementation all GRM processes. Monitors daily, weekly and monthly performance levels of the call center, and proposes adjustments, as needed.

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
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<tbody>
<tr>
<td>MIS Specialist (MELR)</td>
<td>Lead the development of the JS-GRMs</td>
</tr>
<tr>
<td></td>
<td>Lead the development of the UCMS, purchasing and set up of call center equipment, and other technology needs to ensure full functioning of the JS-GRMs. Facilitate training for use of various technology associated with managing the JS-GRMs. Ensure maintenance of the systems.</td>
</tr>
<tr>
<td>Case Management Technical Working Group (CMTWG)</td>
<td>CMTWG will oversee appeal from complainants, as needed and also assist in providing information for the development of the referral systems</td>
</tr>
<tr>
<td></td>
<td>Undertake verification of the issue and/or analysis of the complaint. The investigations will include collecting and review of relevant documents, making site visits, consulting appropriate agency, contacting external stakeholders, interviewing the complainant, as applicable. Provide input to the development of the referral systems, and review manuals for use, as applicable.</td>
</tr>
<tr>
<td>Case Management Officer</td>
<td>Review complaints database and respond to cases assigned in a timely manner. Follow up with relevant stakeholders to ensure complaints are resolved and redressed. Maintain log of progress of cases and resolution by updating the UCMS regularly. Using the UCMS reporting portal, development regular reports and status updates for assigned ministry/ agency</td>
</tr>
<tr>
<td>Call Agents</td>
<td>Respond to calls within assigned hours. Receive complaints via all complaints and/or information requests in the UCMS and conduct triage for response as appropriate. Assign tags to case management officers and follow up within established timeframes. Close out resolve cases and escalate cases that delay.</td>
</tr>
</tbody>
</table>
will be determined by a well-defined overarching M&E framework based on the project results framework, monitoring indicators and project management arrangements. Specific process indicators and checklists will be developed to track progress of the GLMIS development. Monthly monitoring reports will be developed and provided to MELR Management, which will include challenge and mitigation strategies, so that changes can be made in a swift manner to complete the GLMIS on time.

- **Monitoring Performance of the GLMIS.** In addition to generating regular employment data to inform policy decisions, the fully functional GLMIS will be a key mechanism for churning out employment-related monitoring reports, thus the early establishment of the system will be critical to support the Labor Market M&E framework at MELR. At the PEC level, the GLMIS will be expected to provide regular monitoring data on various established indicators such as number of job connection cases opened and closed at PECs. The M&E Specialist will be responsible for, developing monitoring tools, reviewing reports from the PECs and collating quarterly monitoring reports which will detail status of indicators and identify and propose any changes that need to be made within the project. To build adequate monitoring capacity at the national and decentralized offices, the relevant capacity and resources required for effective monitoring will be provided.

- **Independent Performance Evaluation.** In addition to in-house monitoring at the national and local levels, independent entities will be engaged to conduct performance evaluation of the PECs during the duration of this project, once the PECs and GLMIS are fully functional. This is anticipated to take place between the 3rd and 5th year of the project. The consultant(s) or firms will be hired through the project’s procurement system, following applicable procurement guidelines.

### 5.7 Subcomponent 3.2: Upgrading of district PECs and provision of improved job connection and labour market information services to job seekers and employers

#### 5.7.1 Subcomponent Description

Public Employment Centres (PECs) established by the Labour Act, 2003 provide the public with frontline labor market services, which mainly include job matching, job placement, counselling, provision and collection of labour market statistics and information, labour inspections, and processing workmen’s compensation issues, among other labor-related services. Ghana currently has 64 existing PECs under the MELR’s supervision operating as district offices of the Labor Department (LD).

The European Union (EU) and German Development Cooperation (GIZ) are currently supporting the refurbishment of the Employment Information Bureau Office of the Labor Department and fifteen PECs. Their support also includes capacity development of staff at these offices. Building on these efforts, this subcomponent will: (i) refurbish an additional 16 PECs, one in each region of the country; and (ii) develop the necessary capacities required for the effective functioning of the PECs.

Most PEC buildings, including sanitary facilities, air conditioning and lighting are currently in deplorable conditions. The resources (equipment and transportation) required by Labor Inspectors to conduct inspections are limited. Hence, the capacity to collect, generate and disseminate up-to-date labour market information and statistics consistently and on a timely basis, is affected and needs to be strengthened. The refurbishment of PECs will therefore include physical works that may include construction of new buildings where necessary and the provision of relevant IT and office equipment to support the effective functioning of the centers. Structural refurbishments would also include the provision of renewable systems such as solar-powered electricity and water harvesting systems. The
refurbishment of the PECs aims at improving the overall labor market system in Ghana, particularly, strengthening the structural and institutional framework required for the operationalization of the GLMIS. The PECs and the Labor Officers who manage these centers are the primary points of contact at the local levels for the employment and labor sector in Ghana.

The fully functional PECs will promote linkages to other labor market and skills development institutions and programs including the YEA, NBSSI and COTVET, under the Jobs and Skills project. Additionally, to ensure that labor market statistics and job intermediation services can be fully realized, the entities that manage the PEC will also be refurbished as needed. These are the Labor Department, the Policy, Planning, Monitoring and Evaluation (PPME) and Research Statistics and Information Management (RSIM) Directorates will also be refurbished for efficient supervision and management of the PECs. The refurbishment of these entities will take the same systems and processes as that of the PECs.

5.7.2 Selection of PECs for Refurbishment

The PECs to be refurbished under this project will be selected from the PECs that have not received support from the EU and GIZ. One PEC from each of the 16 regions will be strategically selected for refurbishment, guided by technical assessments conducted by the project technical team at the MELR. Guidelines for the assessments will be developed by the technical team covering agreed upon assessment criteria that are in alignment with Government and World Bank processes and standards. Specifically, the assessment criteria will be guided by factors including:

- Geographical and regional inclusion and coverage
- Economic and political criteria, e.g. economically active districts and their strategic role in contributing to jobs through project activities
- Existence of high number of youth within the location
- Extent of deterioration of PEC and budget required for refurbishment
- Environmental and social risk factors anticipated as a result of refurbishment activities
- Overall strategic role of the PECs in delivering labor market services

The selection of the PECs will also be informed by a climate and disaster risk screening assessment to ascertain the level of environmental risks especially flooding likely to be encountered and to recommend appropriate measures required to minimize any potential environmental impacts. The refurbishment will seek to incorporate renewable and efficient energy systems with the use of solar power and long-lasting back-up batteries. Energy supply to the units will be sustained through the installation of more efficient and energy saving systems such as light-emitting diode (LED) lighting. Waste management will involve solid waste segregation while liquid waste will include the use bio-fill systems with efficient biodegradable media. Water supply to the units may be augmented with the installation of mechanized borehole accompanying by water harvesting for flushing to reduce runoff and flooding. The refurbishment will also include the provision of adequate drainage systems depending on the outcome of the climate and disaster risk screening assessment occurring at each selected site. The Environmental and Social Safeguards Specialist of the project will lead the E&S screening process from the project technical team at the MELR. The assessment team will submit their findings to the Project Technical Committee, who will propose the final set of PECs to be refurbished to the MELR management.

The selection process for the refurbishment is expected to be completed by the technical team within 8 months of project initiation. Early completion of refurbishment of PECs is required to complement
job matching needs and opportunities that will emerge from implementation of project components 1 and 2 activities. As such, the refurbishment of the PECs will need to be swift and completed within an 18-month period, after selection. Monitoring and supervision of the refurbishment activities will be carried out by the technical team at MELR, and the activity’s implementation will be led by the Project Coordinator and Environmental and Social Safeguards Specialist, ensuring all agreed standards are adhered to. The implementation leads will be required to submit consistence monthly update reports with MELR management to provide progress on refurbishment activities.

The following timelines will guide refurbishment activities:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Timeline</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| Develop selection criteria and receive approval for use                  | 8 months after project initiation  | • MELR project technical team  
• Environmental Safeguards Specialist                                        |
| Shortlist PECs for assessment                                            | 2 months after selection criteria is approved | • MELR project technical team |
| Conduct assessments for selection of PECs                                | Within 3 months                    | • MELR Project Technical team  
• Environmental Safeguards Specialist                                        |
| Review assessment reports and approve selection of PECs for refurbishment | Within 1 month                     | • Project Technical team                                                  |
| Procure Quantity Surveyor                                                | Within a 6-month period            | • MELR Chief Director  
• MELR Project Technical team  
• Procurement Unit                                                            |
| Prepare Bills of Quantities                                              | On-going                           | • Procurement Unit                                                           |
| Procure Contractors                                                      | On-going                           | • MELR Chief Director  
• MELR Project Technical team  
• Procurement Unit                                                            |
| Contract Contractors                                                     | Within a 9-month period            | • Contractors                                                                |
| Refurbish PECs                                                           | On-going                           | • MELR Project Technical team  
• M&E Specialist                                                               |
| Monitor and supervise refurbishment activities at all 16 Centres         | On-going                           | • MELR Management                                                           |
| Complete, launch, and handover refurbished PECs                          | Within 18 months of the activity start date | • MELR Management                                                           |
5.7.3 Procurement Arrangements for PECs

Procurement of works and supplies for the PECs will be guided by World Bank’s Procurement Regulations for IPF Borrowers, July 2016, Revised November 2017 and August 2018 and applicable to Investment Project Financing (IPF) as the project is subject to the World Bank’s Anticorruption Guidelines, dated October 15, 2006, as revised in January 2011 and July 2016.

The MELR project technical team will initiate the preparation of quantity surveys as a prerequisite for preparing Bill of Quantities (BOQs) and tender documents for the procurement of Contractors and Service Providers for the PECs, according to the relevant processes. The project will follow laid down bid preparation and tender processes in the award of contracts for goods and services required under the project. The procurement processes will be guided by the project’s procurement team at MELR in conjunction with the procurement specialist at the project’s coordinating unit at the MoF.

To facilitate the work of the Labor Department and PECs, especially data collection, monitoring and community engagement activities, in addition to refurbishing the exterior of PECs, the following will be procured for each PEC following laid down procurement processes:

- 1 vehicle
- 1 motorcycle
- Inspection equipment and gears (protective clothing, safety equipment)
- Office furniture and equipment (computers, servers, television, desks, chairs, tablets, etc.)

5.7.4 Safeguards Measures

The refurbishment activities of the PECs were assessed as category B and triggered the World Bank Environmental Assessment Policy (OP 4.01). Refurbishments of the PECs will be limited to rehabilitation works and/or expansion works, which does not require land take or resettlements, hence the overall environmental and social risks identified by the project are rated moderate. All PECs are sited on land under government ownership.

The Environmental and Social Management Framework (ESMF) prepared for the project identified potential environmental impact areas because of the proposed refurbishment activities. These include: (i) creation of burrow pits leading to soil and land degradation; (ii) vegetation losses, soil disturbance and erosion; (iii) air pollution; (iv) vibration and noise; (v) generation and disposal of solid waste; (vi) Relocation of staff and office equipment of PECs; (vii) occupational, health and safety risks. Climate and disaster risk screening will therefore be undertaken for each selected PEC site as specified in the ESMF. The Environmental and Social Safeguards Specialist at the MELR will have the immediate responsibility of ensuring that mitigation or redress measures proposed in the ESMF are implemented.

The Environmental and Social Safeguards Specialist at the MELR will be responsible for handling any issues pertaining to environmental and social safeguards and implementation of redress measures and activities. The Specialist will have expertise in environmental assessment and gender issues including gender-based violence (GBV) and will be required to ensure environmental and social safeguards training for all staff on the project. The project will provide awareness and training, as needed, on GBV and Strategic Environmental Assessment (SEA) in the communities served by the project.

The Stakeholder Engagement Plan for the project identifies the following types of stakeholders who are likely to be affected by the refurbishment activities: (i) contractors/ sub-contractors and supervising engineers; and (ii) staff of PECs and communities/ community leaders and members around PECs. The technical team will sensitize communities and other relevant stakeholders during all the different
phases of the project cycle ensuring that stakeholders are aware of the intended project, the potential challenges, and the channels for making grievances. As indicated in Section XX, the MELR will establish a grievance redress mechanism for the project.

5.7.5 Operationalization of PECs

PECs play a major role in facilitating job connections between job seekers and employers and provide labour market information and statistics for human resource planning, development, and use. The refurbishment of the PECs is expected to support the capacities of the Centres selected to offer services, including: (i) facilitating occupational and geographical mobility of employment opportunities and labour supply; (ii) providing vocational guidance to young persons; (ii) providing job counselling to young persons, including persons living with disability; and (iv) dissemination of labour market information. The operationalization of the PECs following structural refurbishments include the following:

- Staff capacity assessment to identify gaps at respective PECs
- Hiring of short-term human resource capacity to augment existing staff strength based on findings from capacity assessment to boost the efficiency and effectiveness of work at the PECs
- Installation of GLMIS hardware and software infrastructure and provision of IT and office equipment to support the daily operations of the offices
- Training of the staff for implementing upgraded job intermediation services, data collection, data entry, data analysis and reporting
- Training of staff in maintaining and updating the GLMIS data and information
- Training on collecting, tracking and resolving grievances
- Establishment of a systemic reporting and feedback system

5.7.6 Key Staff at the PECs

Based on the expected functions of the PECs, the following key roles will be required.

<table>
<thead>
<tr>
<th>Position</th>
<th>Key Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labor Officer</td>
<td>Lead the overall management of PEC activities</td>
</tr>
<tr>
<td>Career Counsellor</td>
<td>Lead job matching, career counselling</td>
</tr>
<tr>
<td>IT Officer</td>
<td>Lead and manage IT set up and maintenance of GLMIS system</td>
</tr>
<tr>
<td>Data Analyst</td>
<td>Lead the management of employee and employer databases and preparation of labour market reports</td>
</tr>
<tr>
<td>Communications Officer</td>
<td>Lead all communication efforts to ensure that stakeholders are aware of the services at the PECs and coordinate receipt of data from organizations for use in GLMIS reporting</td>
</tr>
</tbody>
</table>

Short-term consultants will contribute to capacity development of PEC staff for project implementation. The staff at the PEC will work closely with the implementing team at the MELR through the Labor Department.
5.7.7 PECs and Social Inclusion

Given the important role that PECs will play to promote jobs and labor issues at the local levels, it will be crucial for the PECs to be accessible to all persons. As such the following systems and processes will be set in place to promote inclusion, particularly for PWDs, including, but not limited to:

- For the PEC buildings, provide physical infrastructure that enables access, such as ramps and elevators
- For the GLMIS App, provide braille and assisted hearing options
- Training manuals that are inclusive and are accessible to PWDs
- Sensitization material that include pictures and other features with PWDs, women and youth
- Inclusive, gender-sensitive, disability-sensitive and vulnerability training to ensure that staff of PECs are able to interact properly with various vulnerable groups

The MELR implementation team will engage the Federation of People with Disabilities and other disability organizations, as well as gender and youth organizations to seek their input on ensuring that accessibility is holistic.

5.7.8 Capacity Building

Capacity development of staff at the PECs will be critical for the effective delivery of services and functioning of the PECs. Continuous training of PEC staff in ICT, database management, monitoring, customer service, and communications will be essential to ensure that they are able to adequately carry out their duties. Such capacity development will take place through continuous structured trainings. Capacity building efforts will also focus on increasing the professional expertise of PEC counsellors in career/vocational guidance. The Program Coordinator of the project will coordinate the development of a capacity development plan within 9 months of the project’s initiation together with the HR Director. This plan will feed from findings gathered through a Needs Assessment of the capacity of staff, previously described.

Specifically, trainings will include (but not limited to) the following areas:

- Use of the GLMIS and generating labour market information
- Collection, analysis and interpretation of labour market data/information
- Job counselling techniques
- Communication skills
- Customer service
- Presentation skills
- Psychological skills to analyse and interpret the professional abilities and interests of the client
- Gender sensitivity and working with vulnerable groups
- ICT training

Capacity building activities under this sub-component will be coordinated by the Human Resources Director of MELR in collaboration with the Program Coordinator.

5.7.9 Stakeholder Sensitization and Communication Activities

To ensure optimal use of the GLMIS and the PEC services, sensitization to the communities will be
crucial. As such, the project will develop a Communication and Knowledge Sharing Strategy covering all communication activities, once the PECs are refurbished and working. The Communications Unit for the project (including the Public Affairs Unit (PAU) of MELR and the Communications Officers) will supervise the development of the communications strategy at each PEC, to ensure that the strategies while standardized are tailored towards effective implementation in respective locations.

Information about the project and planned activities will be disseminated through: (i) community engagements; (ii) stakeholder sensitization meetings; (iii) information campaigns; (iv) GLMIS portal; (v) traditional media engagements; and (vi) official website and social media accounts of the MELR. The project will also work closely with the Information Services Departments in respective regions to disseminate project information. These dissemination activities will be led by the Communication Unit at MELR – the PAU and the project’s Communication team.

Community sensitization and awareness about the project will be initiated at the early stages of project implementation, including presenting the Grievance Redress Mechanisms for the project. Also, the environmental and social risk assessments and subsequent mitigation measures will be communicated to host communities before the beginning of refurbishment works. At project initiation, increased efforts will be dedicated to community engagement to ensure that the communities understand the renewed efforts of the PEC to promote full engagement. In subsequent implementation years, community sensitization efforts will be implemented when any major activity is taking place, e.g. a job fair.

The official website of the MELR will provide up-to-date project information and results to the target groups and stakeholders through frequent updates. As such, the MELR website will be updated within 3 months of project initiation to include information about this project. Additionally, over time, once the GLMIS and PECs are fully functional, the website will also churn out periodic labor data including:

- Labour market statistics
- Information about the Public Employment Centres and their contact information
- Information about TVET programs, institutions and contact information
- Services rendered to the public by PECs

The MELR’s social media channels such as Facebook, Twitter and Instagram often used by young people will be used to announce project activities and opportunities for training and jobs. Access to labor market information through social media channels will increase the labor market mobility of young job-seekers and promote the visibility of PEC services. Through the upgrade of the GLMIS, the project will also activate an online module for registration of job-seekers. Target beneficiaries in rural areas without internet access will be assisted to make use of the portal through simple offline mechanisms using non-smart phones or through direct visits to PECs.

The knowledge sharing and communication strategy will also include media interactions at the national, regional and district level, which will include publication and dissemination of periodic GLMIS and labour market reports (in hard and soft copies).

The MELR Communications team will be responsible for gathering and finalizing information to be uploaded to the MELR website and social media portals and will coordinate gathering information from the various units and PEC to be uploaded. The Communications team will work closely with the MIS team. The MIS team will be responsible for uploads and maintenance of the communications portals.

5.7.10 Supervision, Monitoring and Reporting

PEC Refurbishment Monitoring. As indicated previously, the Program Coordinator and
Environmental and Social Safeguards Specialist will be responsible for producing and circulating monthly update reports on the refurbishment of the PECs. These will be provided to the MELR management to ensure that all are aware of progress made and highlight any challenges that will need to be raised and addressed. The reporting will follow a simple check list that will include the activities that need to be completed, timelines, and people responsible. The reports will provide a status of implementation, flag any challenges, and provide mitigation strategies for addressing challenges. These reports will be provided until the PEC refurbishments, including interior inputs are completed.

**PEC Service Facilitation Monitoring.** Once the PECs are fully functional, it will still be important to monitor the work of the PECs to ensure that they are meeting established key performance indicators. The Program Coordinator and Monitoring and Evaluation Specialist will work with the MELR M&E unit to develop monitoring indicators for the PECs based on their work, that will be elaborated in a Handbook. These indicators will cover the core activities of all PEC staff, such as job counselling, upload of labor data into the GLMIS, upload of jobs, collection of data from various entities to upload into the GLMIS, data analysis, sensitization activities, and reporting. The monitoring indicators will be developed within 3 months of completion of hiring of the project team. These indicators will be discussed with users at MELR headquarters and the PECs to ensure they are appropriate for use. Once completed, they will be shared with MELR management for approval and use. The M&E Specialist will be responsible for reviewing the reports from the PEC and collating quarterly monitoring reports which will detail status of indicators, and identify and propose any changes that need to be made within the project.

Monitoring of the PDO-level indicator associated with this subcomponent will be performed by a contracted independent firm. It will be based on a field-based inspection of all PECs receiving support under the project, based on agreed standardized data collection instruments and procedures. This activity will begin from the second year of project implementation.

**5.8 Subcomponent 3.3: Independent performance reviews of, and technical assistance for reforming, Government youth employment and skills development programs**

**5.8.1 Subcomponent Description**

To address the growing unemployment challenge in Ghana, several public sector-led youth employment and skills development programs have been implemented by the government. Most of these programs are provided with substantial annual budgets for implementation. The unemployment challenge however persists despite the investments in these programs. These programs also face specific technical, infrastructural, and funding challenges that have not been adequately studied and documented. Further, their coherence, efficiency, equity, and effectiveness have not also been carefully assessed, particularly to effect changes that may be needed to the program structures.

This subcomponent will finance two main activities:

(i) Independent, in-depth reviews of the main publicly funded programs, including the Youth Employment Agency, Nation Builders Corps, National Service Scheme, among others. The results of the reviews will inform policy and programmatic reforms to enhance their impact on skills development and jobs. The findings and recommendations from the reviews are also expected to incorporate solutions for ensuring social inclusion related to gender, persons with disabilities, and other disadvantaged groups.

(ii) Commission periodic quantitative and qualitative studies on pertinent research areas relevant to the employment sector. The data gathered within the GLMIS will be leveraged for some of these studies and reports to provide comprehensive labor market information.
5.8.2 Establishment of Program Review Technical Committee

To implement this subcomponent, a nine-member multi-sectorial technical review committee known as the Youth Employment Programs Review Committee (YEPRC) will be established. The YEPRC will include the following participants:

- Honorable Minister for Employment and Labor Relations or his representative (Chair)
- Representative from Ministry of Finance
- Representative from Ministry of Education
- Representative from Ministry of Youth and Sports
- Representative from Ministry of Trade and Industry
- Representative from Ghana Employers Association
- Representative from a University
- A representative from a youth organization
- A representative from a private sector organization

The Project Coordinator will facilitate development of the committees with direction from the MELR Chief Director. The committee will be established within 6 months of program initiation, after which they will meet quarterly to review the program reviews provided to them. The Project Coordinator will also serve as the secretary of the committee and ensure that all meetings are held, all proceedings are appropriately documented, and next steps adhered to.

The responsibilities of the technical committee will include: (i) establish the selection criteria for the youth employment programs to be reviewed; (ii) provide oversight for the selection of third parties to conduct the reviews; (iii) guide the implementation of recommendations from the program reviews; and (iv) provide oversight for the selection of programs for technical assistance support. The graphic below provides the process flow for conducting the reforms, which are then detailed subsequently.

Figure 8: Process Flow for Reforms
5.8.3 Criteria for Selection of Programmes

The selection of youth employment programs to be reviewed will be guided by selection criteria to be agreed upon by the YEPRC. This criterion will consider factors such as:

- Geographical coverage of the program
- Number of beneficiaries reached
- Scope of program content (sectors targeted, skills development, employment prospects)
- Budget allocation by government
- Sustainability and scalability of program

The YEPRC will determine the final criteria for the selection of youth employment programs for review. This will be finalized during the second sitting of the YEPRC. A list of all public sector programs, informed by research recently conducted by the World Bank will then be provided to the committee who will then select two programs per year to be reviewed. The programs will then be informed of their selection and provide written agreement to being reviewed, after which an independent service provider will be hired to conduct the reviews.

5.8.4 Contracting Independent Assessment Teams

As indicated previously, qualified independent local or international firms will be contracted to conduct in depth reviews of agreed upon youth employment and skills development institutions, based on project procurement processes. A performance evaluation, which will provide an assessment of the overall performance of a program based on its mandate, will be conducted for each selected program. This evaluation will also include a cost-benefit and value-for-money analysis to be able to give a comprehensive assessment of reform.

The project coordinator will facilitate the development of the TOR for hiring service providers, which will be reviewed and cleared by the YEPRC for use.

5.8.5 Review of Reform Findings and Implementation of Recommendations

Upon completion of the performance evaluation, the service provider will provide a comprehensive report, as well as a summary PowerPoint presentation, which will include specific recommendations, stipulated as short term, medium term and long term, which will be provided to the YEPRC for review. The recommendations will also include detailed costs so that the review team can determine which of the reforms can be supported by this project. Once the YEPRC has reviewed the recommendations and agreed on which areas can be supported by the project, the Program Coordinator will work with the respective youth employment/ skills development program to organize a meeting with the YEPRC to discuss the findings. During this meeting, the service provider will present the main findings, and the YEPRC will share and discuss which findings can be supported by the program. The program will also discuss its main priorities to ensure that the recommended changes to be made are in alignment with the program’s goals and objectives. It will be essential that the process allows for the program to take ownership of the findings and the YEPRC and program work together to identify reform areas that will be sustainable.

Once there is agreement in terms of which activities will be undertaken, the project coordinator will facilitate the development of a work plan with timelines, together with the program and agree on procurements to be completed. This will be submitted to the YEPRC and approved within two months of receipt. Working with the youth employment/ skills development organization’s procurement and technical teams, the said reforms (e.g. tracer study, rehabilitation of skills center, development of training manuals, training of staff, rehabilitation of skills development workshop, etc.) will then
It is anticipated that reforms will be completed within two years of approval of the work plan (this will definitely vary depending on what reforms are to be undertaken, however, it will be important that the activities are conducted in a swift manner). Procurement of technical assistance and/or goods and services will be done collaboratively with the program, following this project’s procurement guideline.

5.8.6 Undertaking of Labour Market Studies and Dissemination

At the heart of this component is the need for the MELR to provide consistent, regular data on employment issues in Ghana. Support to ensure a functional GLMIS; refurbishments of the PECs, as well as capacity upgrades; and reforms for the main public youth employment and skills development organizations are all aimed towards ensuring that labor market statistics in Ghana are accurate and can inform policy making. As such, this subcomponent will also fund studies and assessments of labor market issues and industry specific surveys.

These studies, assessment and surveys would build on the body of knowledge on the labor market conditions of the country and provide reliable and relevant data, statistics and information to Government and other stakeholders for policy formulation, program design and general decision making. The need for comprehensive up-to-date statistics and information on the labor market of the country have been found to be inadequate and fragmented. These gaps need to be filled to provide the bases for the development of labor market policies and programs that would propel Ghana into the fourth industrial revolution and remain relevant and be more competitive in the global economy.

A minimum of 10 major studies and assessments will be conducted throughout the implementation of the program. Additionally, various short studies, policy briefs, and communication materials will be developed throughout this project. The project’s Technical Review Committee will determine the studies and assessments to be conducted. Issues of importance to government in the labor market will be identified for these studies and assessments. The Committee may also consider proposals from other stakeholders in the public and private sectors for the studies. These studies will be both quantitative and qualitative; comprehensive, thereby covering topics that are pertinent to the entire nation; and inclusive, ensuring that their content is relevant to all groups, including vulnerable populations. The project will work in collaboration with national universities to conduct these studies, which will ensure that they will be used upon completion. Funding will be provided for extensive dissemination of the studies upon completion. Consultant(s) and/or firms will be engaged to conduct these studies, as applicable. Procurement of these service providers will follow the project’s procurement guidelines. It is anticipated that each study will take about a year to be completed from initiation to dissemination. The Communications Team on this project will be tasked with leading various dissemination activities. Within 6 months of project initiation, a work plan and timelines for conducting the studies will be developed, the work plan will also include communication dissemination activities and timelines.

In addition to the main studies which will be comprehensive and lengthy, this subcomponent will also finance the development of easy-to-use, user-friendly materials that will ensure that data on labor market outcomes in Ghana are available and used frequently at all levels of society. These will include quarterly communiques by the MERL; policy briefs; Cabinet and parliamentary memos; infographics; periodic conferences and workshops, roundtable discussions, etc. Dissemination activities will have a national purview and ensure that events are conducted across the country, and materials are made available to all relevant stakeholders at the national, regional and local levels. Within 6 months of project initiation, the Communications team will draw up a work plan for implementing various communications activities for dissemination of labor market outcomes. The team will submit the work plan to MELR Management for approval and this will be used throughout implementation, with updates, as needed.
5.8.7 Supervision, Monitoring, Communication and Reporting

The YEPRC will provide oversight on the reviews, studies, assessments and surveys to be carried out and will also supervise the implementation of recommendations. The MELR PPME M&E team will conduct monitoring activities for this subcomponent, in conjunction with the project’s M&E Specialist. Delivering on the project objectives entails improving the institutional capacities of the implementing agencies for sustained gains. The capacity of the MELR M&E system is currently limited. As such, this subcomponent will also finance the capacity development of the MELR M&E team to be able to conduct in depth monitoring and reporting activities on this project, and the labor sector, as a whole. In addition to building human capacity through various training activities, the needed tools to ensure that the MELR PPME M&E team are adequately resourced to carry out their duties will be provided, including, but not limited to the procurement of goods and services (including vehicles, laptops, tablets, training and IT services).

The project’s M&E specialist will facilitate the development of a monitoring plan for this subcomponent in collaboration with the PMME M&E team, while providing capacity transfer throughout the development process. Monitoring indicators for this subcomponent will be integrated within the project’s monitoring framework.

As indicated above, communication of the reports, studies, and publications will be done through workshops, conferences, media pressers or community engagements, as appropriate. Copies of final reports will also be made available on the MELR website.
CHAPTER 6: COMPONENT 4 – CAPACITY DEVELOPMENT, TECHNICAL ASSISTANCE, AND PROJECT MANAGEMENT SUPPORT FOR ENHANCED SKILLS AND JOBS IMPACT

6.1 Component Description

This component of the project will support the capacity development of, and technical assistance to, coordinating, implementing, and partnering agencies for ensuring satisfactory implementation progress in and performance of project activities. Specifically, the project will support technical, advisory, and capacity-building support for fiduciary; social and environmental management; administrative and operational; monitoring and evaluation; and information, communication, and engagement activities. Project funds will be made available for the procurement of goods and services for these activities performed by the coordinating, implementing, and partnering ministries and agencies.

The component will also support operating costs for project management support for coordinating, implementing, and partnering agencies, including the Project Coordinating Unit and the Economic Transformation Unit in MOF.

6.2 Subcomponent 4.1: Capacity development and technical assistance

6.2.1 Procurement of Consulting Services

Procurement of consulting services shall be carried out in compliance with the Current Procurement Framework, such as: (a) World Bank Procurement Regulations for IPF Borrowers: Procurement in Investment Project Financing: Goods, Works, Non-Consulting and Consulting Services, dated July 2016 and updated in November 2017 and August 2018, (b) the Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants, dated October 15, 2006, and revised in January 2011 and as of July 1, 2016; and (c) the provisions stipulated in the Financing Agreement. The bid documents will be focused on the recent enhancement of the Standard Procurement Document with environmental, social, health, and safety aspects. In addition, the project will finance the hiring of a firm consultancy through component 4 to administer and run the fund.

6.2.2 Procurement of Good and Services

Project funds will be made available through Component 4 for the procurement of the goods and services required to enhance the monitoring for capacity-building purposes and technical assistance and management support to COTVET, MESTI and NBSSI for the purpose of carrying out their respective activities under this subcomponent in collaboration with ministries and agencies, as well as the procurement of third-party monitoring services to complement government capacities. These includes: (a) the TVMIS managed by COTVET, which aims to capture key status, progress, and performance information on the entire TVET sector, including apprenticeship training and (b) an STI MIS managed by MESTI, which aims to capture key status, progress, and performance information on science, technology, and innovation (STI) entities and activities in the country. Each agency will implement their respective procurement of goods, works, and services.

Estimation of cost of the items to be procured:

a) The end-user department will estimate the cost for all requirements, which should be in line with the resources in the project budget to the extent possible.
b) The end user department will adapt to fit into the available resources if the projected cost is not in line with the budget, taking care not to compromise the quality of products, works or services. The specifications will be submitted for consolidation by the Project Coordination. The GJSP Procurement Specialist will be responsible for initiating the preparation process for the project's procurement activities and consolidating the submission into contracts.

6.3 Subcomponent 4.2: Project management support for coordinating, implementing, and partnering agencies

6.3.1 Operationalization of Project Coordination Unit and Agency Implementation Units
This subcomponent will fund the full establishment and running of the Project Coordination Unit at MoF and project implementation units at COTVET, NBSSI and MELR.

6.3.2 Capacity Building and Institutional Support
The Capacity Building and Institutional Support aspect will support both project management and key project-wide capacity needs. MoF will have the overall responsibility. The project will provide training and organizational and management support to the implementing agencies. This aspect will also facilitate the development of the institutional and governance mechanisms needed to deliver the project such as the creation of a project committees and the enhancement of collaboration across secure projects. The overall institutional arrangements for the planning, monitoring and management of project activities include (a) a Project Inter-Ministerial Oversight Committee, (b) a Project Steering Committee, (c) a Project Coordinating Unit, (d) a Project Technical Committee, and (e) implementing and partnering agencies. Through close supervision of the World Bank and high-level MOF will facilitate an early problem identification and resolution. Learning and evaluation, institutional support and enhancement of accountability and transparency will be among the main activities to be supported under this component.

6.3.3 Supervision and Monitoring
Close monitoring and oversight of the implementation of the intervention will be given. The objective is to ensure that the response is enforced in order to ensure transparency at all levels of implementation within the guidelines and procedures laid down. The World Bank's oversight and support for project implementation will include at least two structured implementation review missions every year during the project period, with review findings and recommendations documented in Aid Memoires and Implementation Status and Performance Reports. A Mid-Term Review (MTR) will be conducted jointly by the Government and the Bank during which the progress of the project will be assessed towards achieving the PDO and propose any modifications thereof. Prior to each supervision mission, the government will also prepare implementation progress reports with the relevant data on results and indicators, implementation issues, and risk mitigation measures.

6.3.4 Project Communication and Reporting
The size, innovative concepts and multi-agency nature of the GJSP makes it complex with anticipated implementation and coordination challenges. There shall be the need to establish an effective and efficient system of communication among the PCU, TIA, the World Bank and other stakeholders. The maintenance of effective communication with stakeholders (both internal and external) during implementation is imperative for the success of the project. The responsibility for implementing an effective communication and reporting management system for the project will be the burden of the Project Coordinator supported by the PCU Secretariat and other professional staff.
6.3.4.1 Meetings

A series of meetings with stakeholders shall be held to ensure that regular communication flow is maintained among project team members on the one hand and between the project and external stakeholders on the other. The table below provides a summary of proposed regular meetings.

<table>
<thead>
<tr>
<th>Meeting name</th>
<th>Participants</th>
<th>Objective</th>
<th>What day/date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fortnightly Project Management Team meetings:</td>
<td>Project Coordinator, PCU, TC, Procurement Staff, FM Staff, M &amp; E Staff, E &amp; S Staff, Others as appropriate</td>
<td>To discuss weekly work progress, issues and solutions at implementing Ministries/Agencies, work proposed for ensuing fortnight, specific matters that require World Bank/PSC/TC attention</td>
<td>Every other Monday at 9:00am</td>
</tr>
<tr>
<td>I. PCU</td>
<td></td>
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<tr>
<td>II. TC</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Monthly meetings with the Ministry/Agency TIAs</td>
<td>Project Coordinator, Key relevant implementing agency representatives, and key staff of the PCU and TIAs</td>
<td>To inform the PCU of the progress of work at implementing Ministries/Agencies and discuss issues arising therefrom and to identify issues/bottlenecks so that they can be resolved.</td>
<td>Every Third Thursday of the month at 2.00pm</td>
</tr>
<tr>
<td>Monthly meetings with consultants and contractors. PCU and TIAs</td>
<td>Key relevant implementing Institutional representatives, Project Coordinator and key staff of the PCU and TIAs</td>
<td>To discuss progress of work, issues and bottlenecks affecting the work, administrative issues etc.</td>
<td>To be agreed</td>
</tr>
<tr>
<td>Quarterly meeting of Technical Committee</td>
<td>Heads and Technical representatives of TIAs, Project Coordinator and other key staff of the PCU</td>
<td>To deliberate on on-going activities, problems/challenges and seek resolution of issues</td>
<td>To be agreed</td>
</tr>
<tr>
<td>Project Steering Committee Meetings</td>
<td>Representatives of TIAs</td>
<td>Review Annual Work Plan and Budget, Review progress of work</td>
<td>Once every quarter</td>
</tr>
<tr>
<td>Project Oversight Committee meetings</td>
<td>All members of Project Oversight Committee</td>
<td>Provide overall strategic advice and policy guidance for implementation of the project</td>
<td>Once every year</td>
</tr>
<tr>
<td>Stakeholder Forum</td>
<td>PCU, TIAs, MDAs, Development Partners, General Public</td>
<td>PCU will make public results of the project, including indicators, as well as disbursements made etc.</td>
<td>Once in a year</td>
</tr>
</tbody>
</table>

NB: The meeting dates and days are proposals only and shall be discussed and agreed by the Project Team

Minutes of Meetings

For all meetings mentioned above, detailed minutes should be prepared and circulated among participants within three days after the meeting. The minutes should clearly identify issues, actions arising out of issues, person responsible for actions and the time frame to complete actions. At the next meeting, the first item on the agenda should be to review the actions from the last meeting. The Project Coordinator, with the support of the Monitoring and Evaluation, Communications Officer and the PCU Secretariat, will be responsible for preparing and distributing minutes of meetings.


A one-page project brief will be prepared and emailed to executive management of all participating Ministries and Implementing Agencies periodically highlighting the achievements, drawbacks and issues that need to be resolved in order to move forward.

A sample format for this brief would present the following items:

1. **Highlights:**
   - Highlight issues that were resolved during the period. Usually a number of issues, at least three but not exceeding five would be adequate;
   - Highlight unresolved issues requiring senior/executive management attention;

2. **Progress update:**
• List in bullet form the progress update for all ongoing items, preferably separated into components;
• Include important milestones achieved during the period;
• Indicate progress as against the project time schedule;
• Report on meetings held and outcomes.

3. **Project Team Update:**
• Provide an update on movements of project team members;
• Include TAs recruited for the project;
• List new appointments, proposed leave by staff and HR information may be posted here.

4. **Work-plan for next period:**
• List work plan for next period here; and
• Include milestones planned to be achieved.

5. **Issues to be addressed:**
• Provide a list of all issues that needs to be addressed and proposed solutions. Any issue that is likely to cause delay or difficulty to progress should be included here.
• For recurrent issues, provide more details and a discussion on the options available to resolve them.

6.3.4.2 **Project Implementation Reports**
The TIAs will prepare the following reports, in respect of the component or part of the component for which they have responsibility, and submit same for collation and consolidation by the PCU of the Ministry of Finance.

6.3.4.3 **Quarterly Progress Report**
Quarterly project progress report is a mandatory requirement specified in the Financing Agreements. The format should be based on project objectives, components and activities. In a tabular format, the following information should be included in the report for each component:

- Project Development Objective
- Agreed activities
- Status as at the beginning of the quarter
- Progress during the reporting period;
- Constraints; and
- Next steps proposed

The Project Coordinator will have the responsibility for ensuring the production of the report with the support of the PCU Secretariat. The report must be prepared and submitted to the World Bank within 45 days after the end of each quarter. Copies of the quarterly report should also be sent to all significant stakeholders for information.

6.3.4.4 **Semi-Annual Report**
The PCU shall prepare semi-annual reports that shall provide an update of the progress of implementation and performance of the indicators. Unlike the quarterly reports, the half-year reports will be cumulative, thus detailing the progress of the project for the entire period of six months. In addition, the reports will document key challenges, lessons learnt and the way forward. The semi-annual reports will be shared with the World Bank not later than thirty (30) days after the end of each six (6) calendar months.
6.3.4.5 Annual Report

The Annual Report is a narrative, describing the progress of work during a calendar year. It must capture the following items:

- Achievements toward meeting Project Development Objectives;
- Summary of progress made (overview, then by component and per results framework);
- Challenges/constraints;
- Lessons learned;
- Innovations; and
- Update on activity planned for subsequent year of implementation.

The annual report shall be submitted to the World Bank within 45 days after the fiscal year end.

6.3.4.6 Stakeholder Forum

On an annual basis, the PCU shall organize a workshop to discuss the status of implementation of the project. The PCU shall report on project results, including:

- Technical and financial issues;
- Comparison of achievements with results indicators;
- Strategies for attainment of PDOs;
- Implementation challenges; and
- The way forward.

The workshop shall be attended by representatives of all the Lead Implementing Agency, TIAs, NGOs, CSOs, Regulatory Agencies, Representatives of the World Bank, Other Donor Agencies, and relevant stakeholders.

6.3.4.7 Roles and Responsibilities of the World Bank

The primary responsibility of the World Bank will be to ensure that project funds are used for their intended purposes with transparency, economy and efficiency. The Bank will also be responsible for ensuring the project implementation is carried out according to project cost specifications and within the project time horizon to avoid any delays which could lead to cost overrun.

The Bank will carry out this role through project supervision missions and reviews of periodic project reports. Two supervision missions will be carried out each year. The supervision missions will evaluate the progress of project implementation and will formulate opinions concerning the achievements of the development objectives of the project. At the end of each supervision mission an Aide Memoire, a Summary of the conclusions and recommendations of the mission, will be prepared and discussed with the PCU and the implementing ministries/agencies. The Aide Memoire will be confirmed by an official communication from the Bank after the return of the supervision mission to Washington.

The Bank will also review and provide no-objection for the annual work plan and budget, the procurement plan, and individual procurement packages.

6.3.4.8 Extension of Project Closing Date

Project activities shall be closely monitored in order to determine whether they shall be completed before the project closing date. In case the completion of the activities shall go beyond the project closing date, a request for No-objection to extend the closing date shall be sent to the World Bank in a timely manner. The period for extension request shall be reasonable. Generally, the period for a particular request shall not exceed twenty-four (24) calendar months. The request for extension of project closing date shall be sent to the World Bank not later than six (6) months before the project...
6.3.5 Learning and Evaluation

The sub-component under the new program would enhance learning and evaluation. Focus will be placed on the use of various methodological approaches, such as impact evaluations and qualitative process. Based on relevant, sound and up-to-date research and multi-sectoral project experience in Ghana as well as in other relevant developing countries, the World Bank is bringing creative expertise and results to support the project and the skills development and job creation agenda more broadly in the region. In the interest of the government, the World Bank also aims to continue learning about how to boost the development of skills and job results as the project is implemented on the basis of a diagnostic, operational, and evaluative research program. The outcomes from these simulations will be used to enhance the ongoing implementation of the project and, as may be necessary, to change its design. If the findings of any reviews identify challenges and gaps, the current project activities will be tailored to correct them during implementation. In particular, support under this sub-component will be used for:

a) Evaluation of a project (baseline, midline and end line surveys);

b) Regular monitoring of the project, iii) periodic project reviews, iv) midterm review of the project; and

c) Training forums
CHAPTER 7: COMPONENT FIVE: CONTINGENT EMERGENCY RESPONSE COMPONENT

7.1 Component overview

In accordance with World Bank Policy on IPF, paragraphs 12 and 13, this Contingent Emergency Response Portion (CERC) for situations of urgent need for assistance is included in the project. In the event of a natural or manmade disaster or crisis that has caused, or is likely to cause, a significant adverse economic or social impact, this would allow for the rapid reallocation of project proceeds. In the event of a natural or manmade disaster or crisis that has caused, or is likely to cause, a significant adverse economic or social impact, this would allow for the rapid reallocation of project proceeds. The government needs to declare an emergency or include a statement of fact addressing the request of the use of emergency funds in order to activate this component.

7.2 Provisions for contingency emergency response

If the World Bank agrees with the disaster or crisis determination and the relevant response needs, this component will draw uncommitted resources from other categories of expenditure and/or enable the Government to request the World Bank to re-categorize and reallocate funds from other components of the project to cover the costs of emergency response and recovery. If the component is activated due to an emergency, it may also be used to channel extra funds. Funds for implementation of the Contingent Emergency Response (CERC) component of the project will also be transferred into a Designated Account.

7.3 Emergency Response Operations Manual (if/when applicable)

The Ministry of Finance will have the responsibility to prepare an Emergency Response Operations Manual, detailing financial management, procurement, safeguards and any other appropriate arrangements for implementation in the calendar year 2021. The provision for activating and implementing the CERC will be lay out in a “CERC Annex” to the Project Operations Manual. The CERC Annex will include the operational, fiduciary, and technical details of the CERC. The Ministry of Finance will be working with the line ministries for the required inputs.
CHAPTER 8: FIDUCIARY ARRANGEMENTS

The GJSP is being financed with credit funds of US$ 200.0 million. The size of the facility, the complexity of the project and the number of Agencies involved in implementation demands an efficient financial management arrangement. This section of the PIM aims at providing guidelines for management and accountability of funds provided under the project.

8.1 Objectives of Financial Management

The objectives for establishing a sound financial management system under the project are as follows:

i. Ensure adequate financial management arrangements so that project funds are used for purposes intended in an efficient and economical manner;

ii. Prepare the project’s financial reports in an accurate, reliable and timely manner; and

iii. Safeguard the project’s assets.

8.2 Responsibility for Financial Management

The project’s FM systems will be mainstreamed as part of the existing GoG arrangements as per the Public Financial Management Act, 2016 (Act 921). The MoF shall be responsible for the overall financial management of the project, specifically the Accounts Unit. Project funds shall be transferred (on an imprest basis) to the different Technical Implementing Agencies (TIA). The agencies shall apply the funds to the payment of eligible expenditures and account for the uses through Interim Financial Reports (IFRs) on a regular basis (at least once every quarter). These reports will be submitted by TIAs to MoF not later than 15 days at the end of every quarter. This is to allow ample time for the Project Accountant at MoF to prepare and submit consolidated quarterly GJSP IFRs to the World Bank for clearance.

The Project Accountants of the Technical Implementing Agencies under the supervision of their respective Directors of Finance or Head of Accounts will be responsible for ensuring compliance with financial covenants such as:

i. Maintaining and operating the Project Accounts (denominated in Ghana Cedis);

ii. Verifying and authorizing payments for all contracts and activities under the project;

iii. Facilitating the processing of payments to contractors and service providers;

iv. Preparing acceptable statement of expenditure reports;

v. Preparing unaudited Interim Financial Reports (IFRs) and submitting them to the PCU for consolidation;

vi. Preparing Work plans and budgets in collaboration with other Project Team members;

vii. Maintaining adequate internal controls over project expenditures and assets, and

viii. Facilitating the work of External Auditors.

The Director of Accounts of the MoF will have overall fiduciary responsibility for all financial management aspects of the project, but the routine daily transactional processing and reporting will be assigned to a fully dedicated Project Accountant in the capacity of Senior Accounts Officer (SAO) of the Ministry.

The responsibility of the SAO is to ensure that throughout the period of project implementation there shall be adequate financial management systems in place which can report adequately on the use of project funds and ensure that project funds are used for the purposes intended and in line with the PDO.

The following financial management team within MoF will be required to manage the FM aspect of the Project. This consist of the Director of Finance for the Ministry, one Senior Project Accountant,
two Project Accountants and supported by two Project Accounts Officers. The complex nature of the project i.e. multiple implementing agencies, hybrid implementation of Investment Project Financing (IPF) with Results Based Financing (RBF), verification of DLR/DLI etc is expected to make financial arrangement cumbersome, the number of staff available and the internal arrangement made is expected to reduce work load on the Accounts Unit.

Within the various TIAs, the respective Directors of Accounts or Heads of Finance will have overall fiduciary responsibility for all financial management aspects of their respective components or subcomponents. The Heads of Accounts, working in collaboration with the Director of Finance at the MoF and the Project Accountant, shall ensure that throughout implementation, there are adequate financial management systems in place within their Agencies which can report adequately on the use of Project funds.

In addition, and under the supervisory role of the MoF Director of Accounts, the MoF Project Accountant will be tasked with maintaining oversight responsibilities with regards to ensuring compliance with financial covenants such as submitting acceptable Interim Unaudited Financial Reports (IFRs) to the World Bank, maintaining internal controls over project expenditure and engaging external auditors and ensuring compliance to submission of acceptable audit reports. On behalf of the Chief Director of the MoF, the MoF Project Accountant will also be responsible for maintaining and operating the project’s designated account and supporting the processing of payments to contractors and service providers for all contracts and activities under the project.

As part of efforts in strengthening the technical capacity of the accounts and fiduciary staff, the Bank FMS will conduct a series of trainings on IDA financial management and disbursement guidelines for the accounts and other project staff.

The project will use the existing GoG accounting and reporting processes and guidelines as provided by the MoF, Controller and Accountant General Department (CAGD) and the Ghana Audit Service (GAS). The GoG is implementing the GIFMIS which will be the only system for financial management of all funding i.e. discretionary budget allocations, donor funding and internally-generated funding. The GIFMIS will be the primary system for transaction recording to enable the timely preparation of monthly/quarterly financial reports related to the overall Project expenditures. Prior to implementation, the GIFMIS department within CAGD shall be tasked with supporting the Implementing Ministries, Departments and Agencies (MDA) in configuring the system to allow for accounting and reporting on the use of the Project funds.

With regards to annual audits, the GAS, as per its mandate, will be required to audit the project funds and issue acceptable audit reports to the IDA not later than six months after the end of each year.

### 8.3 Establishing Financial Management Systems

Under the GJSP, the PCU and Technical Implementing Agencies (TIAs) shall establish financial management systems in order to achieve the financial management objectives. For efficient and effective management of project funds, there shall be the need to establish strong financial management systems at the PCU and TIAs. A system of Financial Management shall cover the following:

i. Planning and Budgeting;  
ii. Internal Control;  
iii. Flow of funds;  
iv. Accounting Policies, Procedures and Record Keeping Systems;  
v. Financial Reporting;  
vi. Organisation and Staffing  
vii. External Auditing  
viii. Anti-Corruption  
ix. Roles and Responsibilities
8.4 Planning and Budgeting

The processes of planning and budgeting involve the determination of activities to be carried out during the budget period and the estimated costs of such activities. IDA allocation of funds to various expenditure categories or components will serve as the basis for preparing the Annual Work Plans (AWP) and Procurement Plans.

Under the GJSP, the preparation of Annual Work plans and budget shall be the responsibility of the PCU, and the TIAs. The TIAs shall prepare their Annual Work Plans and Budgets and send them to the PCU for consolidation. The PCU shall send the consolidated Annual Work Plans and Budget to the Project Steering Committee for review and approval before final submission to the World Bank for review and clearance.

8.4.1 Planning and Budgeting Process

The TIAs shall prepare their own Annual Work Plans and Budgets. The Work plans and budgets shall be consolidated by the PCU, submitted to the Project Steering Committee for review and approval before final submission to the World Bank for clearance.

The first step in the planning and budgeting processes shall be the formation of Planning and Budgeting Committees at the PCU, and TIAs. The TIAs, as Government MDAs, shall follow the budget preparation guidelines according to the Public Financial Management Act (921) 2016 and the annual budget guidelines issued by the Ministry of Finance.

Under the GJSP, the budget will be derived from the IDA fund allocation to project components. This will serve as the basis for preparing the respective annual work plans and Procurement Plans. The TIAs shall consider the total project components for the entire project period and break them into annual plans. Estimated costs shall be assigned to these planned activities. This shall be followed by procurement plans. Disbursement projections shall be derived from the procurement plans.

Within the Implementing Ministries, the Director of PPMED shall be responsible for initiating and coordinating the budgeting process for the project and shall obtain inputs (activities, schedules, timelines, and costs) from the beneficiary agencies.

The Work Plans and Budgets will be coordinated with the support of the Project Coordinator and the respective focal persons within the TIAs. The PCU shall consolidate the individual budgets prepared. Once the budgets are completed, they will be approved by members of the Oversight Committee/Chief Director of the Ministry of Finance, for onward submission to the World Bank for review and clearance.

The Annual Work Plans and Budgets shall be incorporated in the Annual Budget of the Ministry of Finance. The processes of Planning and Budgeting are summarized in the Table 6 below.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Officers Responsible</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formation of Planning &amp; Budgeting Committee</td>
<td>Project Coordinator – PCU Focal Person- TIAs</td>
<td>The Committee shall be formed before project effectiveness as part of the preparatory phase</td>
</tr>
<tr>
<td></td>
<td>Activity Description</td>
<td>Chair/Chaired By</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| 2 | Preparation of Annual Work Plans and Budgets by Planning & Budgeting Committee                        | **PCU** Director, PPMED, Procurement Specialist, Project Accountant, M & E Specialist | 1. At PCU, Committee to be chaired by Director, PPMED.  
2. At TIAs, Committees to be chaired by the Director of PPME  
3. The Annual Work Plan and Budget shall be completed within 30 days after Commencement  
4. To be completed by Mid-August for review and discussion |
| 3 | Consolidation of Annual Work Plans and Budget                                                        | **Project Coordinator**                                       | Chair by PCU Project Coordinator/Procurement Specialist |
| 4 | Review of Work Plans and Budget                                                                      | **PCU Members and Focal Persons of TIAs**                     | 1. Chaired by PCU Project Coordinator/Procurement Specialist  
2. Review to be completed within one week |
| 5 | Approval of Work Plans and Budget                                                                    | **Project Steering Committee**                                | To be completed by 31 August |
| 6 | Completion and inclusion in the budget of MoF                                                        | Director, PPMED, MoF                                          | First week in September |
| 7 | Budget Hearing at Ministry of Finance                                                                | Chief Director, MoF, Director, PPMED, MoF, Project Coordinator | Mid-September |
| 8 | Submission of Work Plans and Draft Procurement Plan to the World Bank                                 | **Project Coordinator/Procurement Specialist**                 | To be submitted by 30 November |
| 9 | Clearance of Work Plans and Draft Procurement Plan                                                    | TTL/World Bank                                                |                                  |
| 10| Finalization of Procurement Plan                                                                     | **Procurement Specialist, PCU**                               | Result-based Procurement Planning Workshop |
| 11| Inputting Procurement Plan in STEP                                                                    | **Procurement Specialist of PCU**                             | To be submitted by 31 January |

Major activities in the work plan and budgeting processes are presented in the diagram below.
The relationship between Annual Work Plans, Budgets and Financial Reports is indicated in the figure below:

**Figure 9: Processes of Planning and Budgeting**

**Figure 10: Processes from Planning to Financial Reporting**
8.5 Internal Controls

An effective and efficient system of internal control shall be established under the GJSP. An Internal control shall comprise all financial and administrative controls that the PCU and TIAs shall put in place to protect the assets purchased under the project. A system of internal control shall also ensure the proper authorization of all transactions, accuracy, reliability, and integrity of records. An Internal control system shall include:

- Adherence to all the policies, laws, regulations and procedures established by the Management of the project, to assist in the objective of achieving, as far as practicable, the orderly and efficient conduct of business;
- The safeguarding of assets;
- The prevention and detection of fraud and error;
- The accuracy and completeness of the accounting records; and
- The timely preparation of reliable financial information.

Under the system of Internal Control, there shall be separation of duties, adequate supervision, and the involvement of more than one person in the approval, execution, and recording of each project transaction.

An efficient internal control system leaves a good audit trail of all transactions. All documents shall be filed in a neat and orderly manner so as to facilitate their retrieval. Access shall, however, be limited to authorized persons only. By numbering all Purchase Orders and other original vouchers serially (as generated by the GIFMIS), and quoting the same numbers in the ledger, it shall be easy to trace items from the ledger, through the accounting system, to the original supporting voucher or purchase order.

In a computerized environment, passwords and different systems access right shall be given to all users of the computerized accounting system.

8.5.1 Internal Audit

As part of the system of internal control, project transactions shall be subjected to independent checks by the Internal Audit sections of the MoF and TIAs on a regular basis. Such checks should however not result in delays in processing of transactions. A programme shall be drawn to indicate the nature of support the internal audit shall give to the project. In all cases, the objectives of the internal audit directorate shall include:

i. ensuring a sound control environment throughout the period of project implementation;
ii. Assessing risks and providing advice to prevent or minimize them;
iii. Adding value to the processing of financial transactions;
iv. Preventing the incidence of fraud;

v. Ensuring that statutory requirements are complied with e.g. deduction of withholding taxes;
vi. Ensuring accuracy in the processing of transactions; and

To provide better understanding of project activities, and to avoid undue delays by the Internal Audit Sections of the Implementing Agencies, there may be the need to train the Internal Auditors on World Bank Procurement and Disbursement procedures. As much as possible, representatives from the internal audit directorate shall be involved in project activities e.g. evaluation of bidding documents and visits to project sites.
8.5.2 Internal Audit Report

The internal audit report will be in the form of a Management Letter (including an Executive Summary, highlighting key issues for management). The report shall have the following sections:

i. Objective of the audit;

ii. Methodology of the audit;

iii. Status of implementation of the financial management records, system and controls;

iv. Status of compliance of the previous audit report, including major audit observations pending compliance;

v. Key areas of weaknesses, needing improvement;

vi. Recommendations for improvements;

vii. Internal Audit Report shall be prepared at least twice a year in January and July; and

viii. Comments from the PCU and the Project Management Team must be incorporated in the report as Management comments.

8.5.3 Internal Audit Control Procedure

In order to achieve the above objectives, the following steps must be followed:

• The lines of authority must be clearly defined to facilitate the approval processes;

• Roles may need to be properly defined;

• There shall be separation of duties to ensure that the work of one person is independently checked by another; and

• Procedures shall be established for all transactions and these shall be communicated to all officers under the project.

8.6 Flow of Funds

The project is being funded with a credit of US$200 million by IDA. In order to facilitate the flow of funds to pay for eligible expenditures, a Designated Account shall be opened. A designated account is a revolving account that is used in paying for the Bank’s share of eligible expenditures.

8.6.1 Funds Flow – Institutional Arrangements

Under the GJSP, there shall be one U.S. Dollar denominated accounts (DA) located at the Bank of Ghana/a Commercial Bank (Designated Account). The Designated Account shall be operated and managed by the MoF. The Designated Account shall be under the direct responsibility of the Chief Director of the Ministry of Finance. It shall be managed and operated by the Director of Accounts in collaboration with the Project Coordinator or any other persons designated by the Chief Director of MoF.

The daily transactional processing and reporting on the DA shall be done by the Project Accountant. He shall report functionally to the Project Coordinator but shall be under the authority of the Chief Director of MoF.

In addition to the U.S. dollar denominated account, the project shall open local currency (Ghanaian Cedis) denominated ‘project accounts’ for the Technical Implementing Agencies (TIAs) involved in the project.

The Project Accounts shall be under the direct responsibility of the Chief Directors/Chief Executives of the respective Implementing Agencies. It shall be managed and operated by the Directors of Finance or Heads of Accounts of those Agencies in collaboration with the Project Focal Project Managers. The Project Accountants of the TIAs shall be responsible for the daily transactional processing and
reporting.

The participating Beneficiary Agencies shall receive direct transfers from the U.S. denominated DA to be used to pay for eligible project activities as identified in the approved annual work plans.

The operations and utilization of funds in the local currency project accounts will follow the GoG approval hierarchy as pertains in the respective Beneficiary Agencies, under the supervision of the Chief Executives working with the focal GJSP managers. The arrangement is indicated in the diagram below.

Table 7 below summarizes the institutional arrangements regarding funds flow under the GJSP.

<table>
<thead>
<tr>
<th>AGENCY</th>
<th>ACCOUNT</th>
<th>RESPONSIBLE/SUPERVISING OFFICER</th>
<th>MANAGER/OPERATOR OF ACCOUNT</th>
<th>OFFICER FOR DAILY TRANSACTIONS &amp; REPORTING</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. MoF/PCU</td>
<td>US$ Denominated DA</td>
<td>Chief Director</td>
<td>Director Finance/Project Coordinator</td>
<td>Financial Management Specialist</td>
</tr>
<tr>
<td>2. MOTI</td>
<td>Cedi Denominated Project Account</td>
<td>Chief Director</td>
<td>Director Finance/Project Person</td>
<td>Chief Accountant/Project Accountant</td>
</tr>
<tr>
<td>3. MELR</td>
<td>Cedi Denominated Project Account</td>
<td>Chief Executive</td>
<td>Director Finance/Project Person</td>
<td>Chief Accountant/Project Accountant</td>
</tr>
<tr>
<td>4. MESTI</td>
<td>Cedi Denominated Project Account</td>
<td>Chief Executive</td>
<td>Director Finance/Project Person</td>
<td>Chief Accountant/Project Accountant</td>
</tr>
<tr>
<td>5. COTVET</td>
<td>Cedi Denominated Project Account</td>
<td>Chief Executive</td>
<td>Director Finance/Project Person</td>
<td>Chief Accountant/Project Accountant</td>
</tr>
<tr>
<td>6. NBSSI</td>
<td>Cedi Denominated Project Accounts</td>
<td>Chief Executive</td>
<td>Director Finance/Project Person</td>
<td>Chief Accountant/Project Accountant</td>
</tr>
</tbody>
</table>

**8.6.2 Funds Inflow**

The flow of funds from the World Bank to the Project shall follow the steps below.

i. Preparation of Annual Work Plans and Budget by IAs and Beneficiary Agencies;

ii. Preparation of Procurement Plans by the IAs and Beneficiary Agencies based on the Work Plans and Budget;
iii. Preparation of 6-month Cash Forecasts by the Beneficiary Agencies based on the Procurement Plans;

iv. Consolidation of the 6-month Cash Forecast by the PCU;

v. Submission of consolidated cash forecast to the World Bank for initial advance into the DA; and

vi. Subsequent replenishment of the DA shall follow the same steps except that the replenishment applications shall be supported by IFRs, SoEs, and bank statements.

The process of disbursement of project funds and associated reports and other documents are indicated in the diagram below.

8.6.3 Approval of Cash Forecast and IFRs by the World Bank

Cash forecasts supporting applications for advances into the Designated Account shall be sent to the TTL of the GJSP and the Financial Management Specialist of the World Bank, Accra Office, for review and clearance. In addition, IFRs shall be sent to the TTL and the Financial Management Specialist for review and clearance before they are submitted to the bank for documentation of the previous advance to the Designated Account.

8.6.4 Disbursement Procedures

Proceeds of the financing will follow the standard World Bank procedures for Investment Project Financing (IPF), for use under the project, for eligible expenditures as defined in the Financing Agreement. Funds flow and disbursement will be implemented under the principles of traditional IPF arrangements using the report-based disbursement arrangements. Under this arrangement, the allocated resources will be advanced to the Designated Account based on an approved six-month

Figure 12: Disbursement Arrangements
forecast of expenditures. Subsequent replenishment into the DA shall also be based on 6-month cash forecast but supported by interim unaudited IFRs. The PCU shall send applications to the World Bank supported by the IFRs on a quarterly basis whether or not funds are required for the DA.

Upon effectiveness, the initial request for advance will be based on the consolidated expenditure forecast for six months, subject to the World Bank’s approval. The Task Team Leader and the Financial Management Specialist shall approve the 6-month cash forecast. The Task Team Leader and the Financial Management Specialist shall approve and advise the Disbursement Section of the World Bank, quoting the approved forecasted amount. Under the Report-based disbursement arrangements there shall be two types of applications throughout the period of implementation:

- Application for advance into the DA backed by 6-month cash forecast (as and when required); and
- Application to account for previous advance to the DA on a quarterly basis backed by unaudited IFRs. The IFRs shall include a schedule of contracts subject to the Prior review contracts and DA reconciliation statement.

8.6.5 Transfers to TIAs

On receipt of funds into the DA, the Project Coordinator and the Financial Management Specialist (FMS), working in collaboration with the Chief Director and Director of Finance of the MOF (Lead IA), shall transfer, on an imprest basis, the funds allocations to the respective local currency ‘project accounts’ of the participating IAs (based on their 6-month cash forecasts).

8.6.6 Timelines for Reviewing and Processing

The time taken to review certificates from contractors, reports from consultants, confirmation of goods delivered and services rendered and processing of claims may affect the rate of disbursement where there are considerable delays.

The GJSP Project Coordinator, with the collaboration of the FMS and the Procurement Specialist shall regularly monitor all project activities to ensure that they are done in a timely manner. The timelines below have been proposed to serve as a guide to all project officers and stakeholders involved in project activities at various levels. These timelines shall be reviewed and agreed in the course of project implementation.

<table>
<thead>
<tr>
<th>Activities/Transactions/Documents</th>
<th>Expected Time of completion</th>
<th>Action By</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Review and Approval of Annual Work Plan and Budget</td>
<td>10 days</td>
<td>Project Steering Committee</td>
</tr>
<tr>
<td>2 Certification of Work done</td>
<td>10 Days</td>
<td>Supervision Consultant/Technical Consultant</td>
</tr>
<tr>
<td>3 Certification of Goods Supplied/Delivered</td>
<td>5 days</td>
<td>Procurement Specialist/Admin Manager/Storekeeper</td>
</tr>
<tr>
<td>4 Confirmation of services rendered</td>
<td>5 days</td>
<td>Admin Manager</td>
</tr>
<tr>
<td>5 Review and approval of Consultants’ Reports</td>
<td>10 Days</td>
<td>Technical Consultants/Ad Hoc Committee</td>
</tr>
</tbody>
</table>


<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Evaluation of Bids and Submission of Reports</td>
<td>10-15 Days</td>
</tr>
<tr>
<td>7</td>
<td>Processing of claims approved for payment</td>
<td>2-3 Days</td>
</tr>
<tr>
<td>8</td>
<td>Signing of Request for Payment/Transfers and Cheques</td>
<td>2-3 Days</td>
</tr>
<tr>
<td>9</td>
<td>Submission of Quarterly IFRs to the World Bank</td>
<td>Within 45 Days after end of quarter</td>
</tr>
<tr>
<td>10</td>
<td>Submission of Quarterly Withdrawal Applications</td>
<td>Within 45 Days after end of quarter</td>
</tr>
<tr>
<td>11</td>
<td>Submission of Audited Financial Statements to the World Bank</td>
<td>Not later than 6 months after year end</td>
</tr>
<tr>
<td>12</td>
<td>No-Objection- Review of TOR, Contracts, Reports</td>
<td>10-20 Days</td>
</tr>
</tbody>
</table>

8.6.7 Funds Flow and Reporting

On a quarterly basis, the Financial Management Specialist of the PCU shall request from the IAs financial reports and other documents evidencing payment of eligible expenditures paid from the local currency project accounts. The FMS shall use these reports to prepare a consolidated financial report for submission to the World Bank and other stakeholders.

Supporting documentation will be requested along with withdrawal applications as specified in the Disbursement and Financial Information Letter issued for the project. This will comprise Summary reports (IFRs) for payments made under the project from the DA and requests for reimbursements for eligible expenditure. Copies of the original documents or records shall be requested only for certain categories of expenditures subject to prior review as specified in the Disbursement and Financial Management Letter. Additional instructions for disbursements will be provided in the Disbursement and Financial Information Letter issued for the GJSP.

All IAs under the project will be required to prepare and submit separate quarterly IFRs to account for activities funded under the credit. Under the direct supervision of the various Directors of Finances/Head of Accounts, the respective project accountants shall be responsible for preparing and submitting acceptable quarterly unaudited IFRs.

IFRs for the project are expected to be submitted not later than 45 days after the end of each quarter. To enable the project meet the reporting deadline, TIAs shall submit IFRs to the PCU not later than 21 days after the end of each quarter for consolidation and onward submission to the World Bank. A more detailed Consolidated IFRs shall be sent separately to the World Bank on a quarterly basis in addition to Project Management Reports. The IFRs shall include an Activity and Variance Report under which significant variances shall be explained.

i. The formats, content, and frequency of reporting were agreed during negotiations. These reports shall include:

   - Statement of sources and uses of funds showing the use of funds by components according to the Project Appraisal Document (useful in monitoring implementation of the components);

v. List of payments (made in that quarter) made against contracts subject to the World Bank’s prior review list of current commitments, that is, signed and ongoing contracts;

vi. Cash forecast for six months (to be the basis of requesting for additional funding); and
ii. Statement of sources and uses of funds showing the expenditure by category according to the Financing Agreement (for allocating expenditure according to the Financing Agreement);

iii. Budget variance report comparing the utilization of approved budget against expenditure (useful for the task team leader to monitor implementation and fund utilization);

iv. Designated Account reconciliation statement;

vii. Any other report such as Contract Register that shall be required to provide further information on project expenditure.

8.6.8 Cedi Denominated Project Accounts of IAs

Each of the TIAs shall operate a cedi denominated Project Account. The Project Accounts shall operate as Imprest Accounts. They shall be replenished from the US Dollar denominated DA kept by the PCU. The operationalization of the Project Accounts shall be guided by the following conditions:

- Preparation of Annual Work Plans, Budgets and Procurement Plans;
- Preparation of 6-month Cash Forecast;
- Keeping separate Project Accounts to facilitate accountability and reporting;
- Using project funds for eligible expenditures only;
- Preparing Quarterly Interim Financial Reports to account for use of funds;
- Keeping updated cash book to record all cash transactions;
- Preparing monthly bank reconciliation statements;
- Keeping accurate record of all transactions;
- Making payments subject to appropriate procurement processes;
- Adhering to laid down approval and authorization measures; and
- Establishing internal control measures over the use of project funds.

8.6.9 Operationalization of the Project Accounts

The Project Accounts shall be under the direct responsibility of the Chief Directors of the respective Implementing Ministries and the Chief Executive Officers of the Beneficiary Agencies.

At the PCU level, the Director of Finance shall have oversight responsibility over the DA, but the Financial Management Specialist shall be responsible for the day-to-day transactional processing and reporting.

At the IAs level, the accounts shall be managed and operated by the Director of Finance of the Ministries in collaboration with the Project Focal Project Managers. The Project Accountants/Chief Accountants of the IAs shall be responsible for the daily transactional processing and reporting.

The operations and utilization of funds in the local currency project accounts will follow the GoG approval hierarchy as pertains in the respective Beneficiary Agencies, under the supervision of the Chief Executives working with the focal GJSP managers.

Following the submission of 6-month cash forecasts to the PCU, funds shall be transferred to the respective project accounts. The preparation of Cash Forecasts by the IAs shall be based on procurement plans which also derives their sources from Annual Work Plans and Budgets.

On a quarterly basis, TIAs shall submit IFRs to the PCU to account for payments made from the Project Accounts. The PCU shall consolidate the IFRs and send them to the World Bank. The consolidated
IFRs shall form part of the Quarterly Project Management Report that must be sent to the World Bank not later 45 days after the end of the quarter. The operationalization of the Project Account is summarized below.

- a. Preparation of Annual Work Plan and Budget
- b. Preparation of Procurement Plan
- c. Preparation of 6-month Cash forecast
- d. Submission of Cash forecast to the PCU
- e. Replenishment of the Project Account from the Designated Account
- f. Paying Suppliers for goods and services
- g. Preparing IFRs on a quarterly basis to account for payments made from Account
- h. Submitting the IFRs to the PCU

The flow of funds to the project accounts and the corresponding flow of documents are indicated in the diagram below.

![Flow of Funds to the Project Accounts](image)

**Figure 13: Flow of Funds to the Project Accounts**

### 8.6.10 Eligibility of Payments from the Project Accounts

The Project accounts shall be used for all eligible expenses in local currency. This shall include payment for works, goods, consultancy services, non-consultancy services, local training, and operating expenses. These must be included in the Annual Work Plans and Budgets and cleared by the World Bank before they become eligible for payment from the Project Accounts.

**In order not to overburden the Project Accounts, all claims denominated in foreign currencies shall be forwarded to the PCU for payment.** Under this circumstance, the PCU shall process and pay the beneficiary directly from the Designated Account on behalf of the TIAs and Beneficiary Agencies. All relevant supporting documents shall be attached to the request for payment.
In addition, any payment that is considered too big to be paid from the Project Account shall be sent to the PCU for direct payment from the Designated Account.

8.6.11 Replenishment of the Project Accounts

The initial advances to the Project Accounts shall be based on 6-month Cash Forecasts submitted by individual TIAs and Beneficiary Agencies to the PCU. The TIAs and Beneficiary Agencies shall send applications to the PCU for replenishment of the project accounts when at least seventy-five percent (75%) of previous advances have been disbursed and documented through IFRs.

As an internal control measure, the Financial Management Specialist and the Project Coordinator of the PCU shall review the individual requests and determine appropriate amounts to replenish the individual Project Accounts.

No Project Account shall be replenished unless at least seventy-five percent (75%) of the previous advance has been accounted for. Request for replenishment shall be sent to the PCU any time funds are required to replenish the Project Account.

Interim Financial Reports to support applications for replenishment of the Project Accounts shall include:

i. 6-month Cash Forecast;
ii. Statement of Sources and Uses of Funds;
iii. Activity and Variance Report;
iv. Statement of Expenditures; and
v. Project Account Reconciliation Statement.

8.6.12 Exchange Losses

Advances requested by the TIAs and Beneficiary Agencies to replenish the Project accounts shall be realistic. This is to avoid or minimise exchange losses. For reporting purposes, the exchange rates applied to the transfer of funds to the Project Accounts shall be the same as the exchange rates applied to payments from the accounts. It is recommended that where the cash book is kept on a manual basis, a column shall be kept for US$ equivalent of cash transactions to facilitate financial reporting.

8.6.13 Receipts from Payees

The Finance Unit of the PCU shall remind Contractors, Consultants and Suppliers to submit receipts in respect of all payments. Acknowledgement of payments received by Payees provides additional evidence of payment. Since most of the payments shall be done by wire transfers, the issuing of receipts by Beneficiaries may easily be overlooked.

8.7 Policies, Procedures, Record Keeping and Systems

The PCU and other implementing agencies shall set up accounting systems that shall ensure that:

i. All financial transactions are accurately processed;
ii. All financial transactions are completely recorded;
iii. There is an efficient filing system for all groups of transactions or records;
iv. There is an audit trail of all transactions to facilitate tracking and retrieval of information; and
v. There is adequate information to enhance periodic management and financial reporting.

The Government of Ghana (GOG) has rolled out an automated Integrated Financial Management System (GIFMIS) using Oracle Accounting software and is currently transitioning from a manual
system to an automated accounting system. Until the completion of the exercise, accounting for use of
the project funds shall apply the cash basis of accounting.

Manual records shall be kept as a supplement to any existing computerized accounting system. These
manual records have been summarized in Table 9 below.

<table>
<thead>
<tr>
<th>Table 15. Accounting Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Record</td>
</tr>
<tr>
<td>---------------------</td>
</tr>
<tr>
<td>1. Payment Voucher (P.V.)</td>
</tr>
<tr>
<td>2. P.V. Register</td>
</tr>
<tr>
<td>3. Request for Transfer Register</td>
</tr>
<tr>
<td>4. Cheques Register</td>
</tr>
<tr>
<td>5. Pre-finance Register</td>
</tr>
<tr>
<td>(where applicable)</td>
</tr>
<tr>
<td>6. Cash Book</td>
</tr>
<tr>
<td>7. Fixed Assets Register</td>
</tr>
<tr>
<td>8. Withdrawal Application Register</td>
</tr>
<tr>
<td>9. Contracts Register</td>
</tr>
<tr>
<td>10. Tax Register</td>
</tr>
</tbody>
</table>

8.7.1 Accounting Policies and Standards

The GJSP through the PCU shall adopt IPSAS for the maintenance of accounting records and
preparation of financial reports. The accounting standards and practices must be guided by the
following fundamental principles:

- Full disclosure of all financial resources including resources internally generated from operation and those acquired externally;
- A true and fair view of the financial position and financial performance presented by the financial statements;
- Financial statements shall contain full disclosure of all material information and shall be accompanied by supplementary notes to explain or qualify various accounts;
- Full disclosure of the accounting principles and financial policies adopted by the MOF as well as disclosure of any subsequent changes in either existing accounting practices or financial policies shall be included in the notes to the financial statement; and
- Annual financial statements shall be audited and certified by an independent and qualified auditor as a fair presentation of the financial position of the Project.

The PCU shall apply Cash Basis IPSAS in the recording, analyzing and reporting all of its financial
activities. IPSAS are financial reporting standards used by public sector entities. A project Fixed
Assets Register, and a record of outstanding commitments shall be maintained at all times to correctly
reflect assets acquired or created under the project.

In accordance with the application of country systems, the Ministry of Finance is implementing
GIFMIS. Until it is fully implemented to accommodate donor-financed projects satisfactorily, the PCU
shall run a parallel computerized accounting system that meets donor reporting requirements and
standards. Under no circumstance shall this undermine the Public Financial Management (PFM)
reform efforts to strengthen the country’s systems for implementing donor-financed projects in line
with Ministries and Agencies.
8.7.2 Fixed Assets Register

Where fixed assets (capital assets) are procured under the project, they should be duly entered in the Fixed Assets Register. Information in the assets register should include:

- Date of acquisition
- Name of supplier
- Description of Asset
- Location of Asset
- Officer in charge of the Asset
- Cost of the Asset
- Identification number
- Condition of the Asset

Under the project, small valued items like staple machines and perforators, costing less than GHS 1,000 shall be treated as operating expenses rather than fixed assets.

8.7.3 Records Management

Records Management is an administrative system by which an organization seeks to control the creation, distribution, filing, retrieval, storage and disposal of records that are created or received in the course of its business. The aim of Records Management is to ensure that: The right record is made available; To the right person; At the right time; and at the least possible cost.

The PCU, the TIAs and Beneficiary Agencies shall keep proper records of all project transactions to facilitate retrieval of information. Proper records keeping shall ensure that information is obtained at the right time, at the right place and by the right person.

8.7.4 Archiving of Accounting Records

Accounting Records shall be kept for a minimum period of ten years (Reference PFM Regulations 2019 Section 210). The deletion of financial information which has attained the maximum period of storage shall follow the processes directed by the Controller and Accountant-General. In general, accounting records must be properly filed, and the files clearly labelled to make their retrieval easy, wherever they may be kept.

8.8 Financial Reporting

Under the GJSP, the IAs and Beneficiary Agencies are expected to prepare interim financial reports on a quarterly basis and submit them to the PCU for consolidation.

Throughout the period of implementation, including the Project Preparatory Phase, the Financial Management Specialist, under the supervision of the Director of Finance shall be responsible for consolidating quarterly Interim Unaudited Financial Reports (IFRs) prepared by IAs and Beneficiary Agencies. The IFRs, which are supposed to be part of the quarterly management reports for the project, are expected to be submitted to the World Bank not later than 45 days after the end of each quarter.

The financial reports shall be designed to provide relevant and timely information to the World Bank, Project Management, the Ministry of Finance, Beneficiary Agencies, and other Stakeholders. The IFRs shall account for all disbursements on activities during the reporting period and all funds received from IDA irrespective of the disbursement method.

The formats, content, and frequency of reporting were agreed during negotiations. These reports shall include:

- A statement of sources and uses of funds showing the use of funds by components according to the Project Appraisal Document (useful in monitoring implementation of the components);
- A Designated Account reconciliation statement;
- A list of payments (made in that quarter) made against contracts subject to the World Bank’s
• A statement of sources and uses of funds showing the expenditure by category according to the Financing Agreement (for allocating expenditure according to the Financing Agreement);
• A budget variance report comparing the utilization of approved budget against expenditure (useful for the task team leader to monitor implementation and fund utilization);
• A cash forecast for six months (to be the basis of requesting for additional funding); and
• Any other report (such as Contract Register) that shall be required to provide further information on project expenditure.

The required IFRs and their importance are indicated in the table below.

<table>
<thead>
<tr>
<th>No.</th>
<th>TYPE OF REPORT</th>
<th>IMPORTANCE OF REPORT</th>
</tr>
</thead>
<tbody>
<tr>
<td>i.</td>
<td>Statement of Sources and Uses of Funds</td>
<td>It shows the use of funds by components as per the PAD and expenditure type (useful in monitoring implementation of the project activities)</td>
</tr>
<tr>
<td>ii.</td>
<td>Activity and Variance Report</td>
<td>It compares the utilization of approved budget against actual expenditure (useful to the TTL and other stakeholders in monitoring implementation and fund utilization)</td>
</tr>
<tr>
<td>iii.</td>
<td>Designated Account Reconciliation Statement</td>
<td>It reconciles total advances into the Designated Account with total expenditures paid from the Designated Account</td>
</tr>
<tr>
<td>iv.</td>
<td>Prior Review Contracts Schedule</td>
<td>A list of payments made in the reporting quarter in respect of contracts subject to the World Bank’s prior review- Useful for monitoring ongoing contracts</td>
</tr>
<tr>
<td>v.</td>
<td>Withdrawal Application Summary</td>
<td>A list of all withdrawal applications covering all the disbursement methods</td>
</tr>
<tr>
<td>Vi</td>
<td>Cash Forecast</td>
<td>Indicates Annual Disbursement Projections broken into quarters</td>
</tr>
</tbody>
</table>

Under the Activity and Variance report, significant variances may require explanation. The formats and content of the quarterly IFRs have been included in Annex 7 of this manual.

8.8.1 Annual Financial Reports

The PCU shall prepare annual financial statements using Cash Basis IPSAS. The financial statements shall include:

i. Statement of sources and uses of funds;
ii. Notes to the financial statement; and
iii. Relevant disclosures of outstanding commitments and assets as memorandum to the statements.

The financial statements shall be an aggregation of the quarterly IFRs prepared during the year. The annual financial report shall be ready by the end of February each to enable external auditors commence the work and complete by 30 June.

The Auditor General is responsible for the auditing of all funds under the Consolidated Fund and all public funds as received by government ministries, agencies and departments, in accordance with Ghana Audit Service Act (Act 584).

In this regard, and consistent with the use of country Financial Management systems, the Ghana Audit Service (GAS) will conduct the audit of the project’s financial statements and furnish copies to the Bank within 6 months of the end of each fiscal year.
Due to capacity constraints, the Auditor General may sub-contract the audit of donor funded project to private firms. Under the project, this arrangement will be followed subject to the Bank’s necessary procurement and technical clearance of the terms of reference (ToR) for the engagement of the audit firm. This is to ensure that there are no delays in meeting the financial covenants for submission.

8.9 External Auditing

The Ministry of Finance through the PCU shall prepare annual Financial Statements for audit by Independent Auditors approved by the Auditor–General. Each audit of the Financial Statements shall cover the period of one fiscal year, commencing with the fiscal year in which the first withdrawal was made under the Preparation Advance for the Project.

The audit shall cover the accounting records of the PCU, TIAs and the Beneficiary Agencies. The PCU through the Financial Management Specialist, shall consolidate the accounts before the commencement of the audit.

The audited Financial Statements for each period shall be furnished to the Association not later than six months after the end of such period.

The Ministry of Finance, through the PCU shall not later than three (3) months after the Effectiveness Date, appoint the external auditors for the Project. The appointment of the Auditor shall be subject to the appropriate procurement method.

8.10 Organization and Staffing

As part of measures taken by MoF to have a dedicated FM Unit for all World Bank funded Projects, the existing FM Unit for the Ghana Economic Transformation Project (GETP) currently lead by the Director of Finance for MoF and supported by a dedicated Senior Project Accountant and 2 Project Accountants is expected to manage the fiduciary aspect of the GJSP. It is expected that two additional junior account officers will be seconded by the Ministry on to the FM Unit when the GJSP becomes effective. The diagram below shows the structure of the FM Unit for the GJSP.

Figure 14: Structure of Financial Management Unit of GJSP
8.11 Role and Responsibility

The MoF will be responsible for coordinating the implementation and financial management aspects of the GJSP. The Bank requires the establishment of a sound financial management system that will facilitate the production of accurate and timely reports to the Bank and GoG. The financial management System (FMS) must include records and accounts for the preparation of the financial statements in a format acceptable to the Bank and reflects the operations, sources of funds and expenditures related to the project.

Under the oversight and supervision of the Director of Accounts of the MoF, the dedicated Senior Project Accountant with his team of 2 Accountants (already seconded to the FM Unit of MoF) and 2 Accounts Officers (yet to be seconded to the FM Unit by the Director of Finance) will be responsible for overall fiduciary aspects of the Project.

Specific accounting issues such as recording and processing of payment vouchers etc., will be handled within the Accounts Unit. The Unit is staffed with an adequate number of staff with various levels of skills and competences. Specifically, for this project, the daily transactional issues will be the responsibility of the SAO and his team who has been assessed to have the requisite technical skills and experience.

In terms of accounting systems, the GoG is in the process of rolling out an automated integrated FM system (Government Integrated Financial Management Information System (GIFMIS) using Oracle Financial and is currently transitioning from a manual system to an automated accounting system. It is expected that this project will use of the [GIFMIS]) system to process all payments relating to GJSP. However, the manual system of reporting to the bank using spreadsheet will complement the GIFMIS system until the system is configured to generate reports in a manner acceptable to the Bank.
CHAPTER 9: PROCUREMENT AND CONTRACT MANAGEMENT

This section on Procurement and Contract Management aims at providing regulations on procurement and contract management in the course of Ghana Job and Skills Project (GJSP) implementation. This section is aimed at guiding procurement officials directly involved in procurement activities as well as informing all project officers on the procurement processes. It is also intended to ensure the achievement of uniformity in the application of procurement methods to be followed under the project. This section of the manual shall be used alongside the World Bank Procurement Framework (PF)-Procurement Regulations for IPF Borrowers.

9.1 Applicable Procurement Regulations

Procurement under the GJS project will be carried out, per the New Procurement Framework, in accordance with the ‘World Bank Procurement Regulations for IPF Borrowers’ dated July 2016 (Procurement Regulations), revised November 2017 and August 2018 and the World Bank’s ‘Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by International Bank for Reconstruction and Development (IBRD) Loans and IDA Credits and Grants’ (revised as of July 1, 2016), as well as the provisions stipulated in the Financing Agreement. The bidding documents to be used will be the Standard Procurement Documents recently enhanced with the Environment, Social, Health and Safety provisions.

9.2 Procurement Implementation Arrangements

Technical Implementing Agencies (TIAs), line ministries and agencies will be responsible for the day-to-day implementation of the various components of the project. The Agencies will allocate staff as necessary to constitute their project implementation teams (PITs), including at a minimum one technical focal point and one procurement staff.

Qualified and proficient procurement officers with adequate knowledge and experience in the use of Ghana’s Public Procurement procedures and the World Bank procurement regulations shall be employed in the management of procurement needs of the project throughout the period of project implementation. For complex procurement activities, External Procurement Consultants may be hired on a short-term basis, to provide the necessary support (e.g., in the preparation of ToRs, preparation of technical specifications and evaluation of bids).

9.2.1 Project Coordinating Unit (PCU)

The Project Coordination Unit (PCU) (under the Ministry of Finance), and headed by a Project Coordinator, will have overall responsibility for:

- Procurement management and oversight;
- Coordinating procurement activities;
- Consolidating implementation plans, budget and reports; and
- Ensuring that procurement activities comply with the Ghana and World Bank procurement regulations.

The PCU will also be responsible for monitoring, evaluating and appraising performance of TIAs and other beneficiary agencies.

A dedicated Procurement Specialist (under the Ministry of Finance) within the PCU will serve as the focal person on all procurement related matters, assisting and reporting to the Project Coordinator. The Procurement Specialist will support, coordinate, collate, and consolidate the procurement reports of the TIAs and Beneficiary Agencies. The Procurement Specialist will ensure that the World Bank requirements and expected standards are reflected in procurement execution under the project, thus
providing direct hands-on support where there are lapses in any of the TIAs and MDAs.

9.2.2 Technical Implementing Agencies (TIAs)

The TIAs and Beneficiary Agencies shall carry out procurement activities such as preparation of TORs, preparation of technical specifications, evaluation of bids, etc. with the support of the PCU. Each TIA or beneficiary Agency will undertake its respective procurement activities under the project. A dedicated qualified procurement focal person shall lead procurement activities within each TIA and beneficiary agency.

9.3 Procurement Planning

9.3.1 Introduction

Procurement planning is an important tool for guiding and monitoring procurement. It is relevant to the success of project implementation. Project implementation requires the acquisition of resources which are normally grouped into:

- Goods and Non-consulting services;
- Works; and
- Consulting Services.

To the extent possible, the goods and services shall be bulked into sizeable bid packages in such a manner as to permit the optimal use of competitive bidding.

A procurement plan consistent with the Annual Work Plan & Budget (AWPB) shall be prepared in STEP. This plan which shall be an aggregation of all the plans from the PCU, TIAs and beneficiary agencies and consolidated by the PCU Procurement Specialist shall be approved by the Bank. It shall be available in the project’s database and in the Bank’s external website.

The procurement plan shall include relevant information on all goods, works, consulting services, training/capacity building scheduling each procurement lead-time or milestone in the procurement process. The procurement plan shall include:

i. Contract packages for goods, works, non-consulting services and consultants’ services categories;
ii. Estimated cost;
iii. Procurement or consultant selection method or bidding type;
iv. Evaluation and contract award;
v. Review clearances/No Objections from the World Bank; and
vi. The activities which follow contract signature to delivery and completion.

It is important to note that the procurement plan shall be used as a tool for monitoring, forecasting and tracking overall implementation performance.

9.3.2 Annual Work Plans and Budget

Under the GJSP, each TIA or MDA will prepare an Annual Work Plan and Budget for the relevant year, in accordance with the components and activities to be implemented under the Project and submit same to the PCU by 31st August of the current year. The Annual Work Plan and Budget shall cover the ensuing year and shall detail all the activities to be undertaken within the year.

The PCU will compile and consolidate the individual Work Plans and Budget for the fiscal year latest by 1st October of the current year, for discussion and comments. The PCU shall submit the Work Plan...
and the Budget to the Project Steering Committee for their review, comments and approval. The consolidated Work Plans and Budget shall be forwarded to the Project Task Team Leader of the World Bank not later than 30 November of each year during the implementation of the project. These planned activities and their timelines are summarized in the table below.

Table 17. Planned Activities and Timelines

<table>
<thead>
<tr>
<th>Activities</th>
<th>Expected Time of Completion</th>
<th>Action by</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Determine activities for the year, with reference to relevant project components</td>
<td>31 August each year</td>
<td>TIAs, Beneficiary Agencies</td>
</tr>
<tr>
<td>2 Estimate cost of selected activities</td>
<td>31 August each year</td>
<td>TIAs, Beneficiary Agencies</td>
</tr>
<tr>
<td>3 Consolidate of Annual Work Plans and Budget</td>
<td>1 October each year</td>
<td>PCU</td>
</tr>
<tr>
<td>4 Discuss consolidated Annual Work Plans and Budget</td>
<td>8 October each year</td>
<td>PCU, TIAs, Beneficiary Agencies</td>
</tr>
<tr>
<td>5 Submit Consolidated Annual Work Plans and Budget to Oversight Committee for approval</td>
<td>15 October each year</td>
<td>PCU</td>
</tr>
<tr>
<td>6 Review, comments and Approval of annual work plans and budget</td>
<td>31 October each year</td>
<td>Project Steering Committee</td>
</tr>
<tr>
<td>7 Submission of Annual Work plans and budget to the World Bank</td>
<td>30 November each year</td>
<td>PCU</td>
</tr>
<tr>
<td>8 Review, comment and approve Annual Work Plan and Budget</td>
<td>31 December of each year</td>
<td>TTL, World Bank</td>
</tr>
</tbody>
</table>

The Work Plans and Budget shall contain only eligible project activities and expenditures planned for the ensuing year. For each activity under each component/subcomponent, the following information will be included in the schedule:

- A unique activity number to identify the Component and sub-component;
- Description of the activity;
- The TIA with primary responsibility for the activity;
- All eligible activities/sub-activities and expenditures planned for the ensuing Fiscal year;
- Estimated activity duration;
- Sources of financing;
- Projected disbursements for the period for which the detailed work plan and budget is being prepared; and
- A remarks column where brief comments relating to the status of procurement or implementation could be made.

9.3.3 Training

In the case of training programmes, the following shall be indicated in the Work Plan:

- The description of the training course or workshop;
- The personnel (name and position) to be trained;
- The institution (name and location) which will conduct the training;
- Duration of the proposed training; and
- The estimated Cost (tuition fees, airfare/transportation, per diem) of the training.

The Annual Work Plans and Budget shall be approved by the Project Task Team Leader (TTL). Once approved, it shall not be amended without the prior approval of the TTL. Any changes in the training programmes should be communicated to the TTL. A format for preparation of Annual Work Plan is attached as Annex 12 of this manual.
9.4 Standard Procurement Documents

The procurement documents will be based on the World Bank Standard Procurement Documents for International market approach, with modifications for national market approach, as well as the recently enhanced documents to address environment, social health and safety issues.

9.5 Procurement Arrangements

For any contract to be financed under the project, the following procurement arrangements shall be considered and reflected in the Procurement Plan:

i. Procurement methods for works and goods and non-consulting services;

ii. Procurement methods for works and goods and non-consulting services;

iii. Prequalification, where applicable;

iv. Estimated costs;

v. Prior and post review requirements; and

vi. Procurement lead times.

The Procurement Plan shall reflect the actual project implementation needs and shall be prepared online through the World Bank’s Systematic Tracking of Exchanges in Procurement (STEP), based on the Project Procurement Strategy for Development (PPSD). The Procurement Plan shall be cleared online by the Task Team Leader (TTL) and will be updated annually or as and when required. **STEP will be the primary software or platform to be used to submit, review, and clear all procurement activities.** The initial Procurement Plan shall cover at least the first eighteen (18) months of project implementation.

9.5.1 Disclosure

For all procurements, information on pre-qualification and procurement opportunities and award of contract shall be posted in STEP and the institutional website for two weeks.

9.6 Thresholds for Procurement Methods and Prior Review

The Procurement Plan shall set forth those contracts which shall be subject to the World Bank’s Prior Review and all other contracts subject to Post Review by the World Bank.

However, relevant contracts below prior review thresholds which are deemed complex and/or have significant risk levels will be prior reviewed. Such contracts will also be clearly identified in the procurement plans. Summary of Prior review and procurement method thresholds for the project are indicated in the Table below. All terms of reference for consultants’ services, regardless of contract value, shall also be subject to the World Bank’s prior review.

The following table summarizes the agreed thresholds for the procurement of goods, works and non-consulting services under the GJSP. This should guide the choice of procurement method and requirement for Bank’s review. These thresholds may be reviewed by the World Bank from time to time depending on the market (Method Thresholds) and the Project Risk Rating (Prior Review Thresholds).

### Table 18. Procurement Methods and Prior Review Thresholds

<table>
<thead>
<tr>
<th>Prior Review Threshold in (US$ '000)</th>
<th>Procurement Method’s Thresholds (in US$'000)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consultants</td>
<td>Works</td>
</tr>
</tbody>
</table>

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For vehicles, the threshold is less than US$500,000.00 for Shopping from first line distributors.

### 9.7 Procurement Thresholds for MDAs- Public Procurement Authority

In accordance with the Public Procurement (Amendment) Act 2016 (Act 914), post review contracts under MDAs shall be subject to Public Procurement Procedures of Ghana. Under this procedure, there shall be review and approval by the Entity Head, Entity Tender Committee or Central Tender Review Committee, depending on the thresholds for goods, works and services. The various thresholds and Approval Authorities have been included in this manual under Annex 21. It should be noted, however, that this provision contradicts the articles of agreement between the Bank and National Laws and so the Bank Procurement Regulations must be applied. This means all bidding and proposal documents should satisfy the Bank’s core principles and must therefore be cleared by the Bank.

### 9.8 Procurement Steps

The flow chart shown below broadly depicts the essential steps in procurement.

![Flow Chart: Procurement Steps](image)

**Figure 15: Procurement Steps**

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9.9 **Procurement Processes– Works, Goods and Non-Consulting Services**

9.9.1 **General Procurement Notice**

In order to get the broadest possible interest from eligible bidders and consultants, a General Procurement Notice (GPN) shall be prepared and published in the United Nations Development Business (UNDB) online, on the Bank’s external website (Client Connection) and in one national newspaper.

The General Procurement Notice shall contain information concerning the Borrower, amount and purpose of the loan, scope of procurement reflecting the Procurement Plan, and the name, telephone (or fax) number, email(s), and address(es) of the Borrower’s implementing agency. If known, the scheduled date for availability of prequalification or bidding documents should be indicated.

9.9.2 **Procurement Categories**

Procurement activities under the GJSP have been categorized into: Works; Goods; Non-consulting services; and Consulting Services;

9.9.3 **Market Approach**

The market-oriented modes of application include:

**Open Competition**: An open competitive approach to market is the Bank’s preferred approach as it provides all eligible prospective Bidders/Proposers with timely and adequate advertisement of Borrower’s requirements and an equal opportunity to bid for the required Goods, Works, or Non-Consulting Services. Any approach, other than open competition, shall be justified by the Borrower. Any such approach shall be stated in the Procurement Plan.

**Limited Competition**: A limited competitive approach to market is by invitation only, without advertisement. It may be an appropriate method of selection where there are only a limited number of firms or there are other exceptional reasons that justify departure from open competitive procurement approaches.

**Approaching the International Market**: Approaching the international market (international competitive procurement), is appropriate when the participation of foreign firms will increase competition and may assure the achievement of best Value for Money and fit-for-purpose results. Open international competitive procurement, for which international advertisement is required in accordance with these Procurement Regulations, is the preferred approach for complex, high-risk, and/or high-value contracts. The Bank has set specific thresholds for this purpose (see Guidance on Country Thresholds).

**Approaching the National Market**: As reflected in the Procurement Plan, approaching the national market may be appropriate when the procurement is unlikely to attract foreign competition because of:

- The size and conditions of the market;
- The value of the contract;
- Activities that are scattered geographically, spread over time, or are labor-intensive; or
- The Goods, Works, or Non-Consulting Services are available locally at prices below the international market.

Approaching the national market may also be appropriate when the advantages of approaching the international market are clearly outweighed by the administrative or financial burden involved.

If foreign firms wish to participate in open national competitive procurement, they are allowed to do so on the terms and conditions that apply to national firms. When approaching the national market,
the country’s own procurement procedures may be used, (as specified in Paragraphs 5.3 to 5.6 of the Bank’s Procurement Regulations for Investment Project Financing, IPF).

9.10 Procurement of Works and Goods

The procedure for procuring goods and works is summarized as follows:

9.10.1 Procurement of Non-Consulting Services

Non-consulting services are services other than consulting services that are contracted on the basis of a measurable physical output. Examples include contracts on catering, health care, travel arrangements, organizing workshops for information dissemination, data collection for baseline surveys, transport services, workshops and servicing of office equipment.

Procurement procedures for this expenditure type are similar to those stipulated for the procurement of goods, depending on their nature. The applicable methods shall include ICB, NCB, and shopping. The World Bank’s Standard Bidding Document “Standard Procurement Document of Non-Consulting Services October 2017” is applicable for such procurements.

The diagram below indicates the procurement stages for goods, works and non-consulting services.

**Figure 16: Procedure for Procuring works and Goods**

**Stage 1: Request for Bids (RFB) with Initial Selection (where Pre-selection of Bidders is applicable)**
Stage 2: Request for Bids (RFB) (with/without Initial Selection)

Prepare Request For Bids (RFB) Document

Publish Specific Procurement Notice (SPN) (without Initial Selection)

Invitation for bids issued to selected bidders (with Initial Selection)

Clarification period / Amendment(s) to RFB Document

Deadline for submission of Bids / Public Opening of Bids

Evaluation of Submitted Bids

Identify "Most Advantageous Bid"

Abnormally Low Bid (where applicable)

Unbalanced Bid (where applicable)

Make award of contract decision (if no standstill period applies)

Issue Notice of Intention to Award (if standstill period applies)

STANDSTILL PERIOD

Bidder(s) seek debrief(s)

Debrief(s) provided

Bidder(s) complaint(s)

Complaint(s) addressed

Clearance by Entity Tender Committee

Issue Award of Contract

Obtain Performance Guarantee, appoint Adjudicator, sign contract

Publish Contract Award Notice

Contract Management (Contract Amendment/Completion/Termination)

Minimum of 30 business days

Figure 17: Procurement Flow Chart: Goods, Works and Non-Consulting Services
The table below indicates critical activities under contracts on goods, works and non-consulting services subject to the World Bank’s **prior review** and proposed timelines and responsibility.


<table>
<thead>
<tr>
<th>Item</th>
<th>Critical Activities</th>
<th>Responsibility</th>
<th>Timelines (Days)</th>
<th>Clearing Authority</th>
<th>Duration (Days)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Procurement Planning</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Technical Specifications / Bills of Quantities</td>
<td>Beneficiary Entity(ies)</td>
<td>21</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>2</td>
<td>Draft Bidding Document and Special Procurement Notice</td>
<td>PCU</td>
<td>7</td>
<td>IDA</td>
<td>14</td>
</tr>
<tr>
<td>3</td>
<td>Bid Evaluation Report and Recommendation for Award</td>
<td>PCU / Beneficiary Entity(ies)</td>
<td>21</td>
<td>IDA</td>
<td>14</td>
</tr>
<tr>
<td>4</td>
<td>Notification of Contract Award and Draft Contract</td>
<td>PCU</td>
<td>7</td>
<td>IDA</td>
<td>14</td>
</tr>
<tr>
<td></td>
<td><strong>Procurement Monitoring</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Signed Contract</td>
<td>PCU</td>
<td>21</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>6</td>
<td>Contract Amendments</td>
<td>PCU</td>
<td>14</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>7</td>
<td>Contract Termination</td>
<td>PCU</td>
<td>14</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
</tbody>
</table>

The end-to-end procurement processes for the procurement of works, goods and non-consultancy services using the National Competitive Bidding (NCB) procedure are summarized in the table below.

**Table 20. Procurement Processes - Goods, Works, Non-Consulting Services (Post Review)**

<table>
<thead>
<tr>
<th>Item</th>
<th>Critical Activities</th>
<th>Responsibility</th>
<th>Timelines (Days)</th>
<th>Clearing Authority</th>
<th>Duration (Days)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Procurement Planning</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Technical Specifications / Bills of Quantities</td>
<td>Beneficiary Entity(ies)</td>
<td>21</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>2</td>
<td>Draft Bidding Document and Special Procurement Notice</td>
<td>PCU</td>
<td>7</td>
<td>Coordinator, PCU</td>
<td>7</td>
</tr>
<tr>
<td>3</td>
<td>Bid Evaluation Report and Recommendation for Award</td>
<td>PCU / Beneficiary Entity(ies)</td>
<td>21</td>
<td>Head of Entity</td>
<td>14</td>
</tr>
<tr>
<td>4</td>
<td>Notification of Contract Award and Draft Contract</td>
<td>PCU</td>
<td>7</td>
<td>Coordinator, PCU</td>
<td>7</td>
</tr>
<tr>
<td></td>
<td><strong>Procurement Monitoring</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Signed Contract</td>
<td>PCU</td>
<td>14</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>6</td>
<td>Contract Amendments</td>
<td>PCU</td>
<td>7</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>7</td>
<td>Contract Termination</td>
<td>PCU</td>
<td>7</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
</tbody>
</table>
Table 21. End-to-end procurement processes for Works, Goods, and Non-Consulting Services

<table>
<thead>
<tr>
<th>No.</th>
<th>Activity</th>
<th>Duration</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Preparation of Specification (Goods) or Schedule of Activity (Bill of Quantities) or Statement of Work (Works).</td>
<td>Two (2) Weeks</td>
<td>Implementing Agency (IA)/Subject Matter Expert</td>
</tr>
<tr>
<td>2.</td>
<td>Specific Procurement Notice (SPN) Advertisement of Invitation to Tender</td>
<td>Four (4) Week</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>3.</td>
<td>Receive and open bids. Prepare minutes of opening.</td>
<td>One (1) Day</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>4.</td>
<td>Evaluation of Tender Submissions</td>
<td>Two (2) Weeks</td>
<td>Project Implementing Unit, Procurement Unit and IA/Subject Matter Expert</td>
</tr>
<tr>
<td>6.</td>
<td>Notification of Intention to Award Contract</td>
<td>Two (2) Days</td>
<td>Procurement Unit</td>
</tr>
<tr>
<td>7.</td>
<td>Standstill Period</td>
<td>Two (2) Weeks</td>
<td>Bidders and PIU</td>
</tr>
<tr>
<td>8.</td>
<td>Letter of Acceptance</td>
<td>Two (2) Weeks</td>
<td>Procurement Unit and Head of Entity.</td>
</tr>
<tr>
<td>9.</td>
<td>Signature of Contract</td>
<td>Two (2) Weeks</td>
<td>Consultant, Procurement Unit and Head of Entity</td>
</tr>
<tr>
<td>10.</td>
<td>Publication of Contract Award</td>
<td>One (1) Day</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>11.</td>
<td>Contract Implementation</td>
<td>One (1) Day</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>12.</td>
<td>Contract Completion/Certificate of Completion</td>
<td>Two (2) Days</td>
<td>Procurement Unit and IA</td>
</tr>
</tbody>
</table>

The end-to-end procurement processes for the procurement of works, goods and non-consultancy services using the Request for Quotations or Shopping procedure (appropriate for small values) are summarized below.

Table 22. End-to-end procurement processes for Works, Goods, and Non-Consulting (Small Values)

<table>
<thead>
<tr>
<th>No.</th>
<th>Activity</th>
<th>Duration</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Preparation of Specification (Goods) or Schedule of Activity (Bill of Quantities) or Statement of Work (Works).</td>
<td>One (1) Week</td>
<td>Implementing Agency (IA)/Subject Matter Expert</td>
</tr>
<tr>
<td>2.</td>
<td>Request for Quotation/Invitation to Tender</td>
<td>One (1) Week</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>3.</td>
<td>Receive, Open Quotations, Prepare Minutes of opening</td>
<td>One (1) Day</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>4.</td>
<td>Evaluation of Tender Submissions</td>
<td>One (1) Week</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>5.</td>
<td>Review of Evaluation Report</td>
<td>One (1) Week</td>
<td>Head of Entity</td>
</tr>
<tr>
<td>6.</td>
<td>Issue Notification of Intention of Award</td>
<td>One (1) Day</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>7.</td>
<td>Standstill Period</td>
<td>Ten (10) Days</td>
<td>Bidders and PIU</td>
</tr>
<tr>
<td>8.</td>
<td>Letter of Acceptance</td>
<td>One (1) Week</td>
<td>Procurement Unit and Head of Entity.</td>
</tr>
<tr>
<td>No.</td>
<td>Activity</td>
<td>Duration</td>
<td>Responsibility</td>
</tr>
<tr>
<td>-----</td>
<td>----------------------------------------------</td>
<td>----------------</td>
<td>----------------------------------------------------</td>
</tr>
<tr>
<td>9.</td>
<td>Signature of Contract</td>
<td>One (1) Weeks</td>
<td>Consultant, Procurement Unit and Head of Entity</td>
</tr>
<tr>
<td>10.</td>
<td>Publication of Award of Contract</td>
<td>One (1) Day</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>11.</td>
<td>Contract Implementation</td>
<td>-</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>12.</td>
<td>Contract Closure and Certificate of Completion</td>
<td>Two (2) Day</td>
<td>Procurement Unit and IA</td>
</tr>
</tbody>
</table>

### 9.11 Market Approach

Approach to the market may be International or National and shall be subject to open competitive process or direct selection.

When approaching the market, as agreed in the Procurement Plan, in addition to the international procedures, the country’s own procurement procedures may be used. The national procurement procedures shall be consistent with the Bank’s Core Procurement Principles and ensure that the Bank’s Anti-Corruption Guidelines and Sanctions Framework and contractual remedies set out in its Legal Agreement apply. Reference Table 15 above for the Bank’s approved threshold for the applicable procurement methods and prior review conditions.

Direct contracting may be used in exceptional circumstances with the prior approval of the Bank, in accordance with paragraph 5.3 and 5.5 of the Procurement Regulations.

#### 9.11.1 Specific Procurement Notice

Invitations to prequalify or to bid, as the case may be, shall be advertised as Specific Procurement Notices for all goods and non-consulting services, and works to be procured through international procurement, under Request for Bids (RFB) shall be published in the UNDB online, the World Bank’s external website, Ghana Public Procurement Authority’s freely accessible website, and widely circulated national newspapers. Notification shall be given in sufficient time to enable prospective bidders to obtain prequalification or bidding documents and prepare and submit their responses.

For works and goods using NCB and for consultancy assignments using national consultants only, the Specific Procurement Notices (SPN) and Request for Expression of Interests (REOIs) will be published in widely circulated national newspapers in the country and the Ghana Public Procurement Authority’s freely accessible website. The terms of reference will at this point be made available alongside the REOI to all interested bidders.

Procurement would be carried out using the Bank’s Standard Procurement Documents (SPD) for all Request for Bids (RFBs) for goods and non-consulting services and works and for Standard Request for Proposal (RFP) for the selection of consultants through competitive procedures.

The time allowed for the preparation and submission of bids shall not be less than thirty (30) business days from the date of the invitation to bids. In the case of no pre-qualification submissions, the Borrower is encouraged to convene pre-bid conferences and arrange site visits. For pre-qualification submissions, bidders shall be permitted to submit applications by mail or in person. The use of electronic systems to submit bids by electronic means is not allowed, except for information that does not have price as a basis such as prequalification and expression of interest information. The deadline and place for receipt of bids shall be specified in the invitation to bid.

#### 9.11.2 Other Bidding Procedures

Procurement of goods, works, and non-consulting services shall be carried out by using the Bank’s...
Standard Procurement Documents (SPDs) for:

- International Competitive Bidding (ICB);
- National Competitive Bidding (NCB);
- International and National Shopping; and
- Direct Contracting methods of procurement.

9.11.3 International Competitive Bidding (ICB)

The purpose of International Competitive Tendering is to give all eligible and qualified prospective Bidders adequate and timely notification of a Project Coordinating Unit's requirements and to give them equal access and a fair opportunity to compete for contracts. Bidding opportunities must therefore be advertised internationally, and all eligible bidders must be given a fair opportunity to participate.

This notification requirement distinguishes ICB from other methods of procurement. Additional limitations include:

- The bidding documents shall clearly describe the criteria and methodology for evaluation of bids and selection of the successful bidder. Technical specifications shall be part of the bidding documents; and
- Foreign firms shall not be required to associate with domestic firms in joint ventures or employ specific personnel, as a condition for prequalification or bidding. Further, local or foreign contractors should not be permitted to present more than one tender either individually or as members of a joint venture.

9.11.4 National Competitive Bidding (NCB)

ICB is the preferred method for procurement. However, in circumstances in which it can be demonstrated that ICB is not appropriate, the project, with the approval of the Bank, can employ other methods of procurement. National Competitive Bidding (NCB) may be the most appropriate procurement method where foreign bidders are not expected to be interested, for any of the following reasons:

- The contract values tend to be small;
- Works are scattered geographically or spread over time;
- Works are labor intensive; and
- The goods or works are available locally at prices below the international market.

An acceptable NCB system generally incorporates the basic principles of ICB including inter alia:

i. Timely notification through advertising in local newspapers;
ii. Adequate competition;
iii. Clarity of procedures;
iv. Fair treatment for all bidders; and
v. Award to the most advantageous responsive and qualified bidder in accordance with the criteria set out in the bidding documents.

Eligible foreign firms are also allowed to participate in procurement. The essential differences include the use of national advertising and Bank approved national tendering documents.

- When approaching the national market as agreed in the Procurement Plan, the country’s own procurement procedures may be used. These procurement procedures shall be consistent with the Bank’s Core Procurement Principles and ensure that the Bank’s Anti-Corruption
Guidelines and Sanctions Framework and contractual remedies set out in its Legal Agreement applies.

- **For national open competitive procurement**, the following requirements apply:
  a. Open advertising of the procurement opportunity at the national level;
  b. The procurement is open to eligible firms from any country;
  c. The request for bids/request for proposals document shall require that Bidders/Proposers submitting Bids/Proposals present a signed acceptance at the time of bidding, to be incorporated in any resulting contracts, confirming application of, and compliance with, the Bank’s Anti-Corruption Guidelines, including without limitation the Bank’s right to sanction and the Bank’s inspection and audit rights;
  d. Procurement Documents include provisions, as agreed with the Bank, intended to adequately mitigate against environmental, social (including sexual exploitation and abuse and gender-based violence), health and safety (“ESHS”) risks and impacts;
  e. Contracts with an appropriate allocation of responsibilities, risks, and liabilities;
  f. Publication of contract award information;
  g. Rights for the Bank to review procurement documentation and activities;
  h. An effective complaints mechanism; and
  i. Maintenance of records of the Procurement Process.

9.11.5 **Shopping (National and International)**

Shopping is employed for procuring readily available off-the-shelf goods or standard commodities in quantities of small value and in some cases, very small simple works. Shopping does not require formal bidding documents and is carried out by requesting written quotations from several local or foreign suppliers or contractors, usually at least three, to ensure competitive prices. Telephone or verbal quotations are not acceptable, but on-line or email quotations are acceptable.

9.11.6 **Direct Contracting (Single/Sole Source Procurement)**

Direct contracting without competition (Single/Sole Procurement) is another procurement method. Direct Contracting may be an appropriate method under some or all of the following circumstances:

- An existing contract for goods or works, awarded in accordance with procedures acceptable to the Bank, may be extended for additional goods or works of a similar nature;
- Standardization of equipment or spare parts, to be compatible with existing equipment, may justify additional purchases from the original Supplier;
- The required equipment is proprietary and obtainable only from one source; and
- In exceptional cases, such as in response to natural disasters.

9.11.7 **Publication**

After contract signature, the purchaser is required to publish, in UNDB online and in dgMarket, the name of the contractor, price, duration, and summary scope of the contract. This publication may be done quarterly and in the format of a summarized table covering the previous period.
9.11.8 Delivery Requirements

Delivery requirements should be considered when comparing prices. The contractors or suppliers hired by direct contracting must be qualified to perform the supply of goods or works on time, meeting specifications and fulfilling the special requirements of the sole source contract. They should also be required to meet any performance security and warranty conditions that would normally apply in a competitive tendering situation.

9.11.9 Qualification of Bidders

The process of qualification of bidders for procurement through International Competitive Bidding (ICB), Limited International Competitive Bidding (LIB) and National Competitive Bidding (NCB) could be under any of the following basis:

- Pre-Qualification of Bidders; and
- Post-Qualification of Bidders.

Pre-qualification of bidders is used for large works, turnkey, plants, Build Operate and Transfer (BOT), complex information technology system and some special goods.

Contracts for the supply of vehicles, personal computers, ordinary goods and simple works do not normally require pre-qualification.

9.11.10 Pre-Qualification of Bidders

Pre-qualification screens potential bidders to isolate those that have the required experience, technical, personnel and financial resources to bid for the contract. The Financing Agreement usually specifies the categories of contracts that require pre-qualification. The pre-qualification process should not:

- Be used to limit competition to a pre-determined number of potential bidders;
- Impose upper limit of pre-qualified potential bidders.

9.11.11 Advertisement for Pre-Qualification

The procedure for advertisement and information content of invitation for pre-qualification shall be in accordance with the Bank’s Procurement Guidelines under General Procurement Notice (GPN) and Special Procurement Notice (SPN).

Described below are the standard documents contained in a typical advertised Invitation for Pre-qualification (IFP).

i. Invitation for Pre-qualification – A Special Procurement Notice to potential qualified bidders of the intention to pre-qualify them for a particular project or projects contained in the earlier issued General Procurement Notice.

ii. General Information to Applicants (GITA) – This is general information to bidders on a contract (e.g. source of funds, scope of works, qualification criteria, domestic bidder price preference, submission of applications). The wordings of the GITA shall remain intact.

iii. Specific Information to Applicants – This emphasizes the information contained in the GITA and also includes any specific provisions relating to the contract in question.

iv. Letter of Application – To be filled by the applicant and used in forwarding the completed Invitation for Pre-qualification.

v. Information Forms – This is usually in the form of questionnaires to collect relevant data about the applicants for the purpose of evaluating their capabilities to perform the particular contract satisfactorily.
9.11.12 Evaluation of Pre-Qualification Submissions

The pre-qualification evaluation committee should set clearly defined minimum criteria to be met by prospective applicants in order to demonstrate their ability to satisfactorily perform the contract. Applicants are to be graded on a pass/fail basis. The usual criteria for evaluation are as stated below.

Experience – this is further divided into two, namely:

i. **General experience** – general capabilities of the applicant as demonstrated in records of recent experiences and annualized value of work undertaken over a stated period of years.

ii. **Particular Experience** – specific capabilities demonstrated in successful execution of contracts/works that is substantially of a nature, size and complexity to the contract in question.

Financial – demonstration of the financial ability to meet the estimated contract cash flow required for a specified number of months. Interpretation of financial statement submitted should take account of the peculiarities of the accounting procedures of the applicant’s country.

Personnel – the possession of staff that are experienced in the critical operational or technical areas, demonstrated in the number of years in similar position and comparable projects. A principal and an alternate candidate should be designated for each of the key positions to guard against delay in the event of indisposition of one of them. Key staff assigned to critical areas should have a specified number of years’ experience with the firm to assure that they have gained sufficient knowledge of the firm’s policy, procedures and practices.

Equipment – the possession of and/or demonstration of the ability to acquire or lease that heavy specialized equipment critical to the execution of the contract.

Litigation History – a review of the litigation history arising from executed contracts within a specified period of time should be made to ensure that there are no judgments or pending proceedings that may affect the performance of the contract. Applicants with consistent and significant history of excessive contract arbitrations and litigation resulting in awards against them should be disqualified.

9.11.13 Conditional Pre-qualification

Applicants may be conditionally pre-qualified where there are deficiencies in submission, which in the opinion of the PCU, TIA or Beneficiary Agency does not materially affect the ability to perform the contract. Applicants are notified of the deficiencies for rectification prior to submission of bids. Some of the common conditional pre-qualifications are:

i. Provision of additional information;

ii. Revision of Joint Venture Agreement (JVA);

iii. Hiring of experts in specialized areas;

iv. Improvement in proposed senior or key staff;

v. Provision of specialized equipment;

vi. Ability to perform the contract concurrently with other pending ones.

9.11.14 Pre-Qualification Evaluation Report

A pre-qualification evaluation report shall be prepared at the conclusion of the pre-qualification process and submitted to the Bank for review and comment. The report should address each of the pass/fail criteria set in the document. Typically, the report should contain the following in a summarized form:

i. List of all pre-qualified applicants and their qualification;

ii. List of all conditionally pre-qualified applicants and their observed deficiencies;
iii. List of all disqualified applicants and reasons for their disqualification.

9.11.15 Notification to Applicants

Applicants should be notified of the result of the pre-qualification exercise only after the receipt of the Bank’s “no objection” report on the conduct and conclusion of the process. All applicants shall be notified of the outcome of the pre-qualification process as follows:

i. Qualified applicants should be invited to submit bids for the contract;
ii. Conditionally qualified applicants should be requested to correct the observed deficiencies prior to submission of bids; and
iii. Disqualified applicants are notified of the reason(s) for their disqualification.

9.11.16 Post-Qualification of Bidders

Post-qualification is suitable for use in the procurement of goods of small value and small works contracts. Some of the procurements under the GJSP may be subject to post-qualification evaluation due to the size and nature of contracts envisaged under the project.

Post-qualification is conducted after the evaluation and determination of the bidder that submitted the lowest responsive evaluated bid. This is to ascertain whether the selected bidder has the capacity and ability to perform the contract. Where a selected bidder fails the post-qualification evaluation, the next lowest responsive bidder is considered for post-qualification.

The procedure for carrying out post-qualification of bidders is similar to that of pre-qualification, except that:

i. Post-qualification is on selected most advantageous bidder; and
ii. Under Post-qualification, emphasis is placed on the technical and financial resources of the selected bidder to perform the contract.

All the necessary forms and schedules (as listed in the pre-qualification procedure), and the criteria for qualification of bidders that will be used in the qualification of selected bidders should be included in the bidding documents.

Successful applicants shall be notified only after the receipt of the Bank’s “no objection” report on the Standard Bid Evaluation Report.

9.12 Submission of Bids

9.12.1 Sealing and Marking of Bids

The bidder shall submit the original and copies of completed bids in separate sealed envelopes and duly marked “Original” and “Copy”. The envelopes shall also bear the project name, project number and a statement “Do Not Open Before … “.

9.12.2 Deadline for Submission of Bids

Bids shall be submitted and received at the address specified in the Invitation for Bid (ITB) on or before the date and time specified in the Bid Data Sheet or amended date and time specified in any amendment to the bid document issued and circulated to all those who purchased the bidding document.

Bids received after the stipulated deadline shall be rejected and returned to the bidder unopened.
9.12.3 Modification and Withdrawal of Bids

A bidder may modify or withdraw his bids before the deadline for the submission of bid in writing. However, the modified bid or substituted bid must be resubmitted on or before the deadline given for the submission of bids.

Modification of bids after the bid submission deadline shall not be allowed. Likewise, withdrawal of bid in the interval between bid submission deadline and bid validity period shall not be allowed. Any such withdrawal shall lead to forfeiture of bid security.

9.13 Evaluation of Bids

Preliminary evaluation shall be carried out on all bids received by the Evaluation Committee immediately after the bid opening. This is to determine the preliminary responsiveness of the bids to the requirements contained in the bidding documents. Some of the specific areas of this preliminary evaluation include:

- Ascertain that the bid documents are properly signed by authorized representatives of the bidder;
- Ascertain that the bid securities are in the amount, period and format stipulated in the bidding documents;
- Re-check all computations and make necessary non-material corrections to arithmetical errors in the bid documents; and
- Ascertain that all required documents included in the bidding documents together with any necessary documentary evidence to support qualifications have been returned.

Any bid not meeting the stipulated minimum requirements will be regarded as non-responsive and rejected at this stage. However, care must be exercised to ensure that bids are not rejected on trivialities. The guiding principle here is that minor informality, non-conformity or irregularity in a bid which does not constitute material deviation may be waived provided it does not give any undue benefit to a bidder or prejudice the interest of other bidders.

9.13.1 Arithmetic Errors

The following principles shall govern the conduct of rectification of arithmetical errors:

- If there is a discrepancy between the unit price and the total price (quantities multiplied by unit price), the unit price shall prevail, and the total price amount shall be corrected;
- If there is a discrepancy between the amount in words and in figures, the amount in words shall prevail; and
- Bidders must accept the arithmetical corrections or else the bid will be rejected and bid security forfeited.

9.13.2 Currency Conversion

Bids for goods shall be converted to the local currency (i.e. Ghana Cedis), using the rates published by the Central Bank of Ghana at the date of bid opening.

9.13.3 Detailed Evaluation

The procedures for the evaluation of bids received for goods and works are described below.
9.13.4 Evaluation of Goods

*Price Only Basis*

This is mostly applicable to procurement of simple commodities where all offers received are of identical and comparable material and price alone is the critical factor.

Prices of local bids for locally manufactured or assembled goods shall be determined EXW (ex-factory, ex-works, ex-showroom, off-the-shelf). This includes all costs incurred in the manufacturing or assembling of such goods but excludes VAT.

i. Prices of local bids for imported goods shall be total cost incurred including custom duties paid on the imported item.

ii. Prices of foreign bids shall be determined on Cost, Insurance and Freight (CIF), including all costs, taxes and duties payable on the goods.

iii. The most advantageous bidder shall be the one offering the lowest price.

*Price and Other Factors Basis*

Bid prices are determined based on the total cost of goods to the project site, maintenance costs and delivery schedules. These factors shall include:

- Price as determined on the “Price only Basis”;
- Inland transportation cost to project site;
- Insurance cost to project site;
- Availability and cost of spare parts for a predetermined period – the cost of spare parts, supply of spare parts and maintenance costs for these periods are added to the price quoted; and
- Delivery period – delays in deliveries beyond the estimated delivery time are quantified monetarily and added to the quoted price

The bidder with the lowest aggregate cost is deemed the most advantageous bidder.

*Life Cycle Cost Basis*

The initial price of the goods plus estimated maintenance costs and residual value of goods/plants are computed in determining total cost. The lowest aggregate price is deemed to be the most advantageous bidder. This is mostly applicable to vehicles, plants and equipment.

9.13.5 Evaluation of Works

Evaluation of bids for works shall be carried out in two phases:

i. Non-Price Factors:
   - Technical compliance of the bid with the specifications contained in the bidding documents;
   - Relevant experience of the firm demonstrated in successful execution of similar works carried out in the recent past;
   - Relevant experience and qualifications of key staff proposed;
   - Evaluation of the financial statements of the bidder to ascertain its financial capabilities to undertake the contract.

ii. The price factor shall be the evaluation of the price offer by the bidder.

The most advantageous bidder shall be the one offering the lowest price amongst those that scaled
through the non-price factor evaluation.

9.13.6 Domestic Preferences

The application of domestic preferences in the evaluation of bids shall be so stated in the bidding documents together with the eligibility criteria to be used and is applicable only to ICB procurement method.

Bids are grouped under three headings (A, B or C) and evaluated in accordance with the procedures outlined in the Bank Procurement Regulations. Different procedures, as contained in the Regulations, are used in evaluating bids for goods and works.

9.13.7 Rejection of all Bids

The PCU, TIAs and Beneficiary Agencies may, with the approval of the Bank, reject all bids received on the grounds that:

i. All bids received are deemed not responsive to the requirements contained in the bidding documents;
ii. The most advantageous bid is substantially in excess of the cost estimate prepared by the PCU, TIAs or Beneficiary Agencies;
iii. The PCU, TIA, Beneficiary Agencies conclude that all the bids received are non-competitive.

9.13.8 Standard Bid Evaluation Report

The PCU, TIAs or Beneficiary Agencies shall prepare Standard Bid Evaluation Reports upon completion of the bid evaluation processes by the Bid Evaluation Committee. This shall be forwarded to the Bank for review, comments and “no-objection”.

9.13.9 Standstill Period

To give Bidders/Proposers/Consultants time to examine the Notification of Intention to Award and to assess whether it is appropriate to submit a complaint. A Standstill Period shall apply where applicable. Transmission of the Borrower’s Notification of Intention to Award begins the Standstill Period. The Standstill Period shall last for ten (10) Business Days after such transmission date, unless otherwise extended. The contract shall not be awarded either before or during the Standstill Period.

Notwithstanding the above, there shall not be a requirement for a Standstill Period in the following situations:

- Only one Bid/Proposal was submitted in an open competitive process;
- Direct selection;
- Call-off process among firms holding FAs; and
- Emergency Situations recognized by the Bank.

9.13.10 Debriefing by the Borrower

On receipt of the Borrower’s Notification of Intention to Award referred to under, an unsuccessful Bidder/Proposer/Consultant has three (3) Business Days to make a written request to the Borrower for a debriefing. The Borrower shall provide a debriefing to all unsuccessful Bidders/Proposers/Consultants whose request is received within this deadline.

Where a request for debriefing is received within the deadline, the Borrower is required to provide a debriefing within five (5) Business Days, unless the Borrower decides, for justifiable reasons, to provide the debriefing outside this time frame. In that case, the Standstill Period shall automatically be
extended until five (5) Business Days after such debriefing is provided. If more than one debriefing is so delayed, the Standstill Period shall not end earlier than five (5) Business Days after the last debriefing takes place.

**9.13.11 Award of Contract**

At the end of the Standstill Period, if the Borrower has not received any complaint from an unsuccessful Bidder/Proposer/Consultant, the Borrower shall proceed to award the contract in accordance with its decision to award, as previously communicated through the Notification of Intention to Award.

For contracts subject to prior review, when no complaints are received by the Borrower within the Standstill Period, the Borrower shall proceed to award the contract in accordance with the award recommendation that had previously received the Bank’s no-objection. The Borrower shall inform the Bank within three (3) Business Days of such award.

The Borrower shall transmit the notification of award to the successful Bidder/Proposer/Consultant.

If the Borrower does receive a complaint from an unsuccessful Bidder/Proposer/Consultant within the Standstill Period, the Borrower shall not proceed with the contract award, until the complaint has been addressed.

**9.14 Other Procurement Methods**

The Bank defines the following as approved selection methods for Goods, Works and Non-Consulting Services:

- **Request for Proposals (RFP)** - RFP is a competitive method for the solicitation of Proposals depending on nature and complexity of the Goods, Works, or Non-Consulting Services to be procured
- **Request for Bids (RFB)** - RFB is a competitive method for the solicitation of Bids where the Borrower is able to specify detailed requirements to which Bidders respond in offering Bids
- **Request for Quotations (RFQ)** - RFQ is a competitive method that is based on comparing price quotations from firms for procuring limited quantities of readily available off-the-shelf Goods or Non-Consulting Services, standard specification commodities, or simple civil Works of small value
- **Direct Selection** - Proportional, fit-for-purpose, and Value for Money considerations may require a direct selection approach: that is, approaching and negotiating with only one firm. This selection method may be appropriate when there is only one suitable firm or there is justification to use a preferred firm.

Direct selection may be appropriate under the following circumstances:

- An existing Goods, Works, or Non-Consulting Services contract, including a contract not originally financed by the Bank, but awarded in accordance with procedures acceptable to the Bank, may be extended, if:
  - it is properly justified;
  - no advantage could be obtained through competition; and
  - the prices on the extended contract are reasonable.
- There is a justifiable requirement to re-engage a firm that has previously completed a contract, within the last 12 months, with the Borrower to perform a similar type of contract. The justification shall show that:
  - the firm performed satisfactorily in the previous contract;
The procurement is of very low value and low risk, as agreed in the Procurement Plan;
- The case is exceptional, for example, in response to Emergency Situations;
- Standardization of Goods that need to be compatible with existing Goods may justify additional purchases from the original firm, if the advantages and disadvantages of another brand or source of equipment have been considered on grounds acceptable to the Bank;
- The required equipment is proprietary and obtainable from only one source;
- The procurement of certain Goods from a particular firm is essential to achieve the required performance or functional guarantee of an equipment, Plant, or facility;
- The Goods, Works, or Non-Consulting Services provided in the Borrower’s country by an SOE, university, research center or institution of the Borrower’s country are of a unique and exceptional nature in accordance with Paragraph 3.23 c of the Bank’s Procurement Regulations.; or
- Direct selection of UN Agencies in accordance with Paragraphs 6.47 and 6.48 of the Bank’s Procurement Regulations;
- In all instances of direct selection, the Borrower shall ensure that:
  - the prices are reasonable and consistent with the market rates for items of a similar nature; and
  - the required Goods, Works, or Non-Consulting Services are not split into smaller sized procurement to avoid competitive processes.

9.15 Procurement Processes - Consultants’ Services

9.15.1 Procurement of Consultants’ Services

Under the GJSP, Consultants’ services shall be procured under contracts awarded on the basis of Quality and Cost-based Selection (QCBS), unless provided otherwise.

Figure 4 below indicates the procurement stages for consultancy services.
The table below indicates critical activities for selection of consultants under contracts that are subject to the World Bank’s **prior review** and proposed timelines and responsibility.

### Table 23. Selection Processes – Consulting Services (Prior Review)

<table>
<thead>
<tr>
<th>Item</th>
<th>Critical Activities</th>
<th>Responsibility</th>
<th>Timelines (Days)</th>
<th>Clearing Authority</th>
<th>Duration (Days)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Procurement Planning</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Terms of Reference</td>
<td>Beneficiary Entity(ies)</td>
<td>21</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>2</td>
<td>Request for Expression of Interest / Draft Request for Proposals Document</td>
<td>PCU</td>
<td>7</td>
<td>IDA</td>
<td>14</td>
</tr>
<tr>
<td>3</td>
<td>EOI Assessment / Proposals Evaluation Report</td>
<td>PCU / Beneficiary Entity(ies)</td>
<td>21</td>
<td>IDA</td>
<td>14</td>
</tr>
<tr>
<td>4</td>
<td>Notification of Contract Award and Draft Contract</td>
<td>PCU</td>
<td>7</td>
<td>IDA</td>
<td>14</td>
</tr>
<tr>
<td></td>
<td><strong>Procurement Monitoring</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Signed Contract</td>
<td>PCU</td>
<td>14</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>6</td>
<td>Contract Amendments</td>
<td>PCU</td>
<td>14</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>7</td>
<td>Contract Termination</td>
<td>PCU</td>
<td>14</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
</tbody>
</table>

The table below indicates critical activities for the selection of consultants under contracts that are subject to the World Bank’s **post review** and proposed timelines and responsibility.

### Table 24. Selection Processes – Consulting Services (Post Review)

<table>
<thead>
<tr>
<th>Item</th>
<th>Critical Activities</th>
<th>Responsibility</th>
<th>Timelines (Days)</th>
<th>Clearing Authority</th>
<th>Duration (Days)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Procurement Planning</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Terms of Reference</td>
<td>Beneficiary Entity(ies)</td>
<td>21</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>2</td>
<td>Request for Expression of Interest / Draft Request for Proposals Document</td>
<td>PCU</td>
<td>7</td>
<td>Coordinator, PCU</td>
<td>7</td>
</tr>
<tr>
<td>3</td>
<td>EOI Assessment / Proposals Evaluation Report</td>
<td>PCU / Beneficiary Entity(ies)</td>
<td>14</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
<tr>
<td>4</td>
<td>Notification of Contract Award and Draft Contract</td>
<td>PCU</td>
<td>7</td>
<td>Coordinator, PCU</td>
<td>7</td>
</tr>
<tr>
<td></td>
<td><strong>Procurement Monitoring</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Signed Contract</td>
<td>PCU</td>
<td>7</td>
<td>Head of Entity</td>
<td>7</td>
</tr>
</tbody>
</table>
The end-to-end procurement processes for the selection of Consultants are summarized in the table below.

<table>
<thead>
<tr>
<th>No.</th>
<th>Activity</th>
<th>Duration</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Preparation of Terms of Reference (TOR)</td>
<td>Two (2) Weeks</td>
<td>Implementing Agency (IA) / Subject Matter Expert</td>
</tr>
<tr>
<td>2.</td>
<td>Review of TOR</td>
<td>Two (2) Weeks</td>
<td>TTL of World Bank</td>
</tr>
<tr>
<td>3.</td>
<td>Preparation of Request for the Expression of Interest (EOI)</td>
<td>One (1) Week</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>4.</td>
<td>Request for EOI (UNDB Online, National Dailies, Public Procurement Authority website)</td>
<td>Two (2) Weeks</td>
<td>Procurement Unit</td>
</tr>
<tr>
<td>5.</td>
<td>Evaluation of EOI and Shortlisting of Consultants</td>
<td>One (1) Week</td>
<td>Project Implementing Unit, Procurement Unit and IA/ Subject Matter Expert</td>
</tr>
<tr>
<td>6.</td>
<td>Review of EOI Report</td>
<td>Two (2) Weeks</td>
<td>Entity Tender Committee (ETC) of the Ministry for Post Review or the World Bank for Prior Review.</td>
</tr>
<tr>
<td>7.</td>
<td>Draft Request for Proposal</td>
<td>One (1) week</td>
<td>TTL of World Bank for Prior Review</td>
</tr>
<tr>
<td>8.</td>
<td>Request for Proposals (RFP) for the following selection methods (Quality Based Selection (QBS), Quality and Cost Based Selection (QCBS), Least Cost Selection (LCS), Fixed Budget Selection (FBS) and Consultant Qualification Selection (CQS).)</td>
<td>Four (4) Weeks</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>9.</td>
<td>Receive and opening of Technical Proposal</td>
<td>One (1) day</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>10.</td>
<td>Minutes of Technical Proposal opening</td>
<td>Two (2) Days</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>11.</td>
<td>Evaluation of Technical Proposals</td>
<td>Two (2) Weeks</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>12.</td>
<td>Review of Technical Proposals Report</td>
<td>Two (2) Weeks</td>
<td>ETC of the Ministry and Central Tender Review Committee (CTRC) for Post Review or the World Bank for Prior Review.</td>
</tr>
<tr>
<td>13.</td>
<td>Opening of Financial Proposal. Preparation of Minutes</td>
<td>One (1) Day</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>14.</td>
<td>Evaluation of Financial Proposals</td>
<td>One (1) Week</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>No.</td>
<td>Activity</td>
<td>Duration</td>
<td>Responsibility</td>
</tr>
<tr>
<td>-----</td>
<td>---------------------------------------------------</td>
<td>-------------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>16.</td>
<td>Contract Negotiations</td>
<td>One (1) Week</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>17.</td>
<td>Review of Contract Negotiations Report and Draft Contract</td>
<td>Two (2) Weeks</td>
<td>ETC of the Ministry and Central Tender Review Committee (CTRC) for Post Review or the World Bank for Prior Review.</td>
</tr>
<tr>
<td>19.</td>
<td>Notification of Intention to Award Contract</td>
<td>Two (2) Weeks</td>
<td>Procurement Unit and Head of Entity.</td>
</tr>
<tr>
<td>20.</td>
<td>Stand Still Period</td>
<td>Two (2) Weeks</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
<tr>
<td>21.</td>
<td>Signature of Contract</td>
<td>Two (2) Weeks</td>
<td>Consultant, Procurement Unit and Head of Entity</td>
</tr>
<tr>
<td>22.</td>
<td>Publication of Award of Contract</td>
<td>One (1) Day</td>
<td></td>
</tr>
<tr>
<td>23.</td>
<td>Contract Implementation</td>
<td>-</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>24.</td>
<td>Contract Closure and Completion Certificate</td>
<td>Two (2) Days</td>
<td>Project Implementing Unit, Procurement Unit and IA</td>
</tr>
</tbody>
</table>

The end-to-end procurement processes for the selection of Consultants using Limited Competition (appropriate for very small assignments) are summarized in the table below.

**Table 26. End-to-end procurement processes for consultancy services (small assignments)**

<table>
<thead>
<tr>
<th>No.</th>
<th>Activity</th>
<th>Duration</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Preparation of Terms of Reference (TOR)</td>
<td>One (1) Weeks</td>
<td>Implementing Agency (IA)/Subject Matter Expert</td>
</tr>
<tr>
<td>2.</td>
<td>Request for Request for the Expression of Interest (EOI)</td>
<td>Two (2) Week</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>3.</td>
<td>Evaluation of EOI and shortlisting</td>
<td>One (1) Week</td>
<td>Project Implementing Unit, Procurement Unit and IA/Subject Matter Expert</td>
</tr>
<tr>
<td>4.</td>
<td>Submission of Financial Proposal for Negotiations</td>
<td>One (1) Week</td>
<td>Project Implementing Unit, Procurement Unit and IA/Subject Matter Expert</td>
</tr>
<tr>
<td>6.</td>
<td>Letter of Acceptance to Consultant</td>
<td>One (1) Week</td>
<td>Procurement Unit and Head of Entity.</td>
</tr>
<tr>
<td>8.</td>
<td>Standstill Period</td>
<td>Two (2) Weeks</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>9.</td>
<td>Signature of Contract</td>
<td>Two (2) Weeks</td>
<td>Consultant, Procurement Unit and Head of Entity</td>
</tr>
<tr>
<td>10.</td>
<td>Publication of Award of Contract</td>
<td>One (1) Day</td>
<td>Procurement Unit and IA</td>
</tr>
<tr>
<td>11.</td>
<td>Contract Implementation</td>
<td>-</td>
<td>Procurement Unit and IA</td>
</tr>
</tbody>
</table>
9.16 Methods for Procurement of Consultants’ Services

- Quality and Cost Based Selection (QCBS)
- Quality-Based Selection (QBS)
- Fixed Budget Selection (FBS)
- Least Cost Selection (LCS)
- Consultant Qualification Based Selection (CQS)
- Selection of Individual Consultants

The Procurement Plan shall indicate those contracts that shall be subject to the Bank’s prior Review. All other contracts shall be subject to Post Review by the Bank. The Procurement Plan shall specify the circumstances under which each method may be used.

Three (3) months after the Effective Date, a procurement filing and tracking system, satisfactory to the Association shall be established for the project.

9.16.1 Preparation of Short List of Consultants

Short-lists shall be restricted to those firms expressing interest and who possess the relevant qualifications and experience to undertake the assignment. Short lists should normally be of five to eight (5-8) firms based on the capacity to undertake the assignment. For the purpose of establishing the short list, the nationality of a firm is that of the country in which it is registered or incorporated.

The following details of each firm should be assessed in the selection for the short list:

- general background of the firm;
- experience of similar assignments; and
- quality of performance under previous contracts.

Once the Bank has issued a “no objection” to a short list, firms that expressed interest, as well as any other firm that specifically requests, shall be notified that they are unsuccessful.

9.16.2 Quality and Cost Based Selection (QCBS)

QCBS uses a competitive process among shortlisted firms that takes into account the quality of the proposals and the cost of the services in the selection of the successful firm. The relative weight to be given to the quality and cost shall be determined for each case depending on the nature of the assignment. The selection process shall include the following:

9.16.3 Preparation of the Terms of Reference (TOR)

The Terms of Reference shall be prepared by a person(s) or a firm specialized in the area of the assignment. The scope of the services described in the ToR shall be compatible with the available budget.

ToR shall clearly define the objectives, goals and scope of the assignment and provide background information to facilitate the consultants’ preparation of their proposals. However, ToR should not be too detailed and inflexible, so that competing consultants may propose their own methodology and staffing. The client and the consultants’ respective responsibility should be clearly defined in the ToR. The ToR developed shall include:

- Background of the project;
- A precise statement of objectives;
- An outline of the tasks to be carried out;
- A schedule for completion of tasks;
- The support/inputs to be provided by the client; and
• The final outputs that will be required of the Consultant

9.16.4 Preparation of Cost Estimate & Budget

The Cost Estimates or Budget should be based on the assessment of the resources needed to carry out the assignment, staff time, logistical support, and physical inputs (for example, vehicles, office space and equipment). Costs shall be divided in two broad categories, a) Fee or remuneration and b) Reimbursable costs. The cost of staff time shall be estimated on a realistic basis for all personnel involved in the assignment.

9.16.5 Advertisement for Expression of Interest (EoI)

Advertisement in a prescribed format is issued in widely published newspapers to obtain expression of interest for the contract. In addition, contracts expected to cost more than US$ 300,000 shall be advertised in UNDB online and in dgMarket. Not less than 14 days from date of posting on UNDB online shall be provided for responses, before preparation of the shortlist.

9.16.6 Evaluation of EOI to Shortlist Up to Eight Firms

If the assignment has been advertised and expressions of interest received, EOIs shall be evaluated to shortlist between five and eight firms. The shortlisting of firms must be based on the eligibility criteria defined for EOI selection. The short list shall not include Individual Consultants. In contracts below US$ 500,000 equivalent, short list may comprise national consultants only. Government owned enterprises can be considered for award of consultancy assignment provided they are otherwise eligible as per the Bank’s procurement regulations.

9.16.7 Preparation and Issuance of Request for Proposal (RFP) to Shortlisted Firms

The RFP shall include:

• Letter of Invitation (LOI);
• Instructions to Consultants (ITC) with Data Sheet;
• Technical Proposal - Standard Forms;
• Financial proposals - Standard Form;
• Terms of Reference (TOR); and
• Standard Forms of contract.

9.16.8 Receipt of Proposals

The time allowed for submission of proposal shall depend on the assignment, but normally shall not be less than four weeks or more than three months. The firms may request clarifications about the information provided in the RFP. The clarifications must be given in writing and copy to all the firms. The technical and financial proposals shall be submitted at the same time but in different sealed envelopes. Any proposals received after the closing time shall be returned unopened.

9.16.9 Opening and Evaluation of Technical Proposals

The technical proposals shall be opened immediately by the evaluation committee, after the closing time for submission of proposals. The evaluation of the proposals will be in two stages, first, quality and then cost. Minutes of proposal opening should be prepared.

The most critical objective in setting the evaluation criteria should be to ensure that the consultant selected shall be able to give the best quality services required. The criteria for the evaluation of technical proposals are:

• Relevant specific experience of the consultant to the assignment in question;
• Adequacy of the proposed methodology and work plan. This could be further divided into the following sub-criteria:
  (a) Technical Approach and Methodology;
  (b) Work Plan;
  (c) Organization and Staffing.
• Qualifications and Competence of Key Staff. This could be further divided into the following sub-criteria:
  (d) General Qualifications;
  (e) Adequacy of Qualifications and Experience in the particular assignment;
  (f) Experience in the Region and Language.
• Training and Transfer of knowledge;
• National Participation.

Weights are allocated to these criteria and sub-criteria for the purpose of rating and scoring proposals received. The evaluation criteria shall be within the indicative range of scores specified in the table below, except the Bank otherwise recommends something different.

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>SCORE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Consultant’s specific experience</td>
<td>0 - 10</td>
</tr>
<tr>
<td>2 Methodology:</td>
<td>20-50</td>
</tr>
<tr>
<td>3 Key Experts</td>
<td>30-60</td>
</tr>
<tr>
<td>4 Transfer of knowledge</td>
<td>0-10</td>
</tr>
<tr>
<td>5 Participation of National Experts</td>
<td>0-10</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100</td>
</tr>
</tbody>
</table>

9.16.10 Public Opening of Financial Proposals of Firms Technically Qualified

The financial proposals shall remain sealed until opened publicly. Financial proposals shall be opened only after completing the technical evaluation and receiving no objection for the same from the Bank. Minutes of Financial Opening must be prepared with opening record sheets.

9.16.11 Combined Evaluation of Technical and Financial Proposals

The total score shall be obtained by weighing the quality and cost scores and adding them. The weight for the cost shall be chosen, taking into account the complexity of the assignment and the relative importance of quality. The weight for cost shall normally be 20 points out of a total score of 100. The proposed weightings for quality and cost shall be specified in the RFP. The firm obtaining highest combined score shall be invited for the negotiations.

9.16.12 Negotiation and Award of Contract

Negotiations shall include discussions of the TOR, the methodology, staffing, client’s inputs, and special conditions of the contract. These discussions shall not substantially alter the original TOR or the terms of the contract, otherwise the quality of the final product, its cost, and the relevance of the initial evaluation shall be affected.

Major reductions in work inputs should not be made solely to meet the budget. The final TOR and the agreed methodology shall be incorporated in “Description of Services,” which shall form part of the contract.

The selected firm should not be allowed to substitute key staff, unless both parties agree. If this is not
done, the firm may be disqualified, and the process continued with the next ranked firm. The key staff proposed for substitution shall have qualifications equal to or better than the key staff initially proposed.

Financial negotiations shall include clarification of the consultants’ tax liability and how this tax liability has been or would be reflected in the contract. As Lump-Sum Contracts payments are based on delivery of outputs (or products), the offered price shall include all costs (staff time, overhead, travel, hotel, etc.). Consequently, if the selection method for a Lump-sum contract included price as a component, this price shall not be negotiated. In the case of Time-based Contracts, payment is based on inputs (staff time and reimbursable) and the offered price shall include staff rates and an estimation of the amount of reimbursable. When the selection method includes price as a component, negotiations of staff rates should not take place, except in special circumstances, like for example, staff rates offered are much higher than typically charged rates by consultants for similar contracts. Consequently, the prohibition of negotiation does not preclude the right of the client to ask for clarifications, and, if fees are very high, to ask for change of fees, after due consultation with the Bank.

Reimbursables are to be paid on actual expenses incurred at cost upon presentation of receipts and therefore are not subject to negotiations. However, if the client wants to define ceilings for unit prices of certain reimbursables (like travel or hotel rates), they should indicate the maximum levels of those rates in the RFP or define a per diem in the RFP.

If the negotiations fail to result in an acceptable contract, the client shall terminate the negotiations and invite the next ranked firm for negotiations. The Bank shall be consulted prior to taking this step.

9.16.13 Standstill Period

There is a mandatory 10 working days Standstill Period.

9.17 Quality Based Selection (QBS) Method

Quality-Based Selection (QBS) is based on the evaluation of the quality of technical proposal without an initial consideration for cost. The consultant that submitted the highest-ranked technical proposal is then invited to negotiate its financial proposal and the contract. QBS is appropriate when:

- The downstream impact of the assignment can be so large that the quality of the services is of overriding importance for the success of the project as a whole;
- The scope of work, the duration of the assignment, and the TOR require a degree of flexibility because of the novelty or complexity of the assignment, the need to select among innovative solutions, or the particular physical, environmental, social, or political circumstances of the project and of the Borrower;
- The assignment itself can be carried out in substantially different ways such that cost proposals may not be easily or necessarily comparable;
- The introduction of cost as a factor of selection makes competition unfair; or
- The need exists for an extensive and complex capacity building program.

QBS should be adopted for assignments such as the following:

- Complex sector and multi-disciplinary studies of a complex nature;
- Important and far-reaching strategy studies;
- Complex master plans, pre-feasibility and feasibility studies, or design of large and complex projects; and
Assignments in which consultant organizations with different cost structures (for example, traditional consultants, non-governmental organizations, or UN agencies) are required to compete.

In QBS, the RFP may request submission of a technical proposal only (without the financial proposal), or request submission of both technical and financial proposals at the same time, but in separate envelopes (two-envelope system). The RFP shall provide either the estimated budget or the estimated number of key staff time, specifying that this information is given as an indication only and that consultants shall be free to propose their own estimates.

If technical proposals alone were invited, after evaluating the technical proposals using the same methodology as in QCBS, the Borrower shall ask the consultant with the highest ranked technical proposal to submit a detailed financial proposal. The Borrower and the consultant shall then negotiate the financial proposals and the contract.

All other aspects of the selection process shall be identical to those of QCBS, including the publication of the Award of Contract, except that only the price of the winning firm is published.

**9.17.1 Fixed Budget Selection (FBS)**

This method is appropriate only when the assignment is simple, can be precisely defined and the budget is fixed. The RFP shall indicate the available budget and request the consultants to provide their best technical and financial proposals in separate envelopes, within the budget. Evaluation of all technical proposals shall be carried out first as in the QCBS method. Then the price proposals shall be opened in public and prices shall be read out aloud. Proposals that exceed the indicated budget shall be rejected. The Consultant who has submitted the highest ranked technical proposal among the rest shall be selected and invited to negotiate a contract.

Typical assignments to be awarded under FBS shall include the following:

- Studies and surveys of limited scope;
- Not-too-complex prefeasibility studies and reviews of existing feasibility studies;
- Reviews of existing technical designs and bidding documents; and
- Project identification activities for which the level of detail can be matched with the available funds.

**9.17.2 Least Cost Selection (LCS)**

This method is only appropriate for selecting consultants for assignments of a standard or routine nature (audits, engineering design of non-complex works, simple surveys) where well-established practices and standards exist. Under this method, a “minimum” qualifying mark for the “quality” is established. Proposals, to be submitted in two envelopes, are invited from the shortlisted firms. Technical proposals are opened first and evaluated. Those securing less than the minimum qualifying mark are rejected, and the financial proposals of the rest are opened in public. The firm with the lowest price shall then be selected.

**9.17.3 Consultants’ Qualifications Based Selection (CQS)**

This method may be used for small assignments for which the need for preparing and evaluating competitive proposals is not justified. In such cases, prepare the TOR, request expressions of interest and information on the consultants’ experience and competence relevant to the assignment, establish a short list, and select the firm with the most appropriate qualifications and references. The selected firm shall be asked to submit a combined technical-financial proposal and then be invited to negotiate
9.17.4 Direct Contracting/Single-Source Selection (SSS)

Direct Contracting/Single-source selection of consultants does not provide the benefits of competition with regard to quality and cost, lacks transparency in selection, and could encourage unacceptable practices. Therefore, single-source selection shall be used only in exceptional cases.

Direct Contracting/Single-source selection may be appropriate only if it presents a clear advantage over competition:

- For tasks that represent a natural continuation of previous work carried out by the firm (see next paragraph);
- In emergency cases, such as in response to disasters and for consulting services required during the period of time immediately following the emergency;
- For very small assignments; or
- When only one firm is qualified or has experience of exceptional nature for the assignment.

When continuity for downstream work is essential, the initial RFP shall outline this prospect, and, if practical, the factors used for the selection of the consultant shall take the likelihood of continuation into account. Continuity in the technical approach, experience acquired, and continued professional liability of the same consultant may make continuation with the initial consultant preferable to a new competition subject to satisfactory performance in the initial assignment. For such downstream assignments, the client shall ask the initially selected consultant to prepare technical and financial proposals on the basis of TOR furnished by the client, which shall then be negotiated.

If the initial assignment was not awarded on a competitive basis or was awarded under tied financing or if the downstream assignment is substantially larger in value, a competitive process acceptable to the Bank shall normally be followed in which the consultant carrying out the initial work is not excluded from consideration if interest is expressed. The Bank will consider exceptions to this rule only under special circumstances and only when a new competitive process is not practicable.

9.17.5 Selection of Consultants (Individuals)

Individual consultants are employed on assignments for which:

a) Teams of personnel are not required;

b) No additional outside (home office) professional support is required; and

c) The experience and qualifications of the individuals are the paramount requirements.

When coordination, administration, or collective responsibility may become difficult because of the number of individuals, it would be advisable to employ a firm.

Individual consultants are selected on the basis of their qualifications for the assignment. **Advertisement is not required, and consultants do not need to submit proposals.** Consultants shall be selected through comparison of qualifications of at least three candidates among those who have expressed interest in the assignment or have been approached directly. Individuals considered for comparison of qualifications shall meet the minimum relevant qualifications.

Individual consultants may be selected on a sole-source basis with due justification in exceptional cases such as:

a) tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively;

b) assignments with total expected duration of less than six months;

c) emergency situations resulting from natural disasters; and
9.18 Types of Consultancy Contracts

There are two types of consultancy contracts, lump sum contract and time-based contract.

9.18.1 Lump Sum Contract

Lump sum contracts are used mainly for assignments in which the content and the duration of the services and the required output of the consultants are clearly defined. Payments are linked to outputs (deliverables), such as reports, drawings, bill of quantities, bidding documents, and software programs. Lump sum contracts are easy to administer because payments are due on clearly specified outputs.

9.18.2 Time-Based Contract

This type of contract is appropriate when it is difficult to define the scope and the length of services, either because the services are related to activities by others for which the completion period may vary, or because the input of the consultants required, attaining the objectives of the assignment is difficult to assess. This type of contract is widely used for complex studies, supervision of construction, advisory services, and most training assignments.

Payments are based on the inputs of the respective staff within a period computed using the agreed hourly, daily, weekly, or monthly rates for staff (who are normally named in the contract) and on reimbursable items using actual expenses and/or agreed unit prices. The rates for staff include salary, social costs, overhead, fee (or profit), and, where appropriate, special allowances. This type of contract shall include a maximum amount of total payments to be made to the consultants. This ceiling amount should include a contingency allowance for unforeseen work and duration, and provision for price adjustments, where appropriate. Time-based contracts need to be closely monitored and administered by the client to ensure that the assignment is progressing satisfactorily and that payments claimed by the consultants are appropriate.

9.19 Using United Nations Agencies

When agreed with the Bank, the government of Ghana may select UN Agencies directly in situations where their expertise or rapid mobilization on the ground is critical, in particular, in circumstances of urgent need of assistance or capacity constraints.

When entering into a contract with a UN Agency, the Government shall use a standard form of agreement between the Government and the UN Agency or a case-specific template approved by the Bank. In circumstances in which the Bank and a UN Agency have an established FA, the Government may take advantage of the FA when entering into a contract with the UN Agency.

9.20 Procurement Reports

Procurement reports shall be prepared by the PCU, TIAs and Beneficiary Agencies and consolidated by the PCU. The reports shall include a brief narration in addition to relevant schedules. The narration shall include the following:

- Staffing position;
- Procurement of goods during the reporting period;
- Procurement of works during the reporting period;
- Performance of suppliers, contractors and consultants;
- Contractual Disputes;
- Proposed procurement activities for the next quarter; and
- Any other relevant procurement information
• Procurement of Consulting and non-consulting services during the reporting period;
• Training during the reporting period;
• Complaints and comments by bidders;

Format for the preparation of Procurement Report is attached as an annex to this manual.

9.21 Progress Report for Implementation Support Mission

A procurement Report shall be prepared by the PCU and submitted to the World Bank at least one week before any mission. The proposed reporting format is indicated below. In addition to the regular reporting format, the proposed reporting format shall be included in the quarterly procurement report.

<table>
<thead>
<tr>
<th>S/No.</th>
<th>Procurement Status</th>
<th>No. of Items</th>
<th>Total Sum (US $)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Completed Contracts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>On-going Contracts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Procurement activities at Pre-Contract Stage</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Procurement activities Yet-to-be Initiated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Contracts Terminated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>TOTAL</td>
<td></td>
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</tr>
</tbody>
</table>

9.21.1 Procurement Progress

A. A brief description of progress as at the reporting date for goods, works, non-consulting services and consulting services. The report shall cover a review of procurement plans including:

• Number of contracts planned;
• Number completed;
• Number yet to be completed;
• Number not yet initiated;
• Number terminated; and
• Overall performance assessment (Summary including projected disbursement amount and actual amount disbursed)

B. Description and costs of major disbursement items

C. Key Procurement activities

D. Procurement challenges
<table>
<thead>
<tr>
<th>Description</th>
<th>Contracts Completed</th>
<th>Contracts On-going</th>
<th>Pre-Contract Stage</th>
<th>Proc yet to be Initiated</th>
<th>Terminated</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goods</td>
<td></td>
<td></td>
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<tr>
<td>No %</td>
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<td>Amt</td>
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<td>Amt %</td>
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<tr>
<td>Works</td>
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<tr>
<td>No %</td>
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<td>Amt</td>
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<td>Amt %</td>
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<tr>
<td>Consultancy Services</td>
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<td>No %</td>
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<td>Amt %</td>
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<tr>
<td>Non-Consultancy Services</td>
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<tr>
<td>No %</td>
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<td>Amt</td>
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<td>Amt %</td>
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<tr>
<td>Total No.</td>
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<tr>
<td>No %</td>
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<td></td>
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<tr>
<td>Total Amt</td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Amt %</td>
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</tbody>
</table>
9.22  Records for goods, works and services

The PCU, TIAs and Beneficiary Agencies shall maintain complete records of all procurement processes and contracts for goods, works and services. The records for each competitive bidding shall be kept in a file and shall include:

- Copies of GPN, SPN and local and international advertisement in newspapers, journals and gazettes;
- Pre-qualification documentation (where applicable);
- Bid Invitation (IFB, ITB, REI, RFP);
- Bid documents and amendments, if any;
- Records of pre-bid meetings;
- Bid opening minutes;
- List of bids rejected during preliminary examination with reasons for rejection;
- Table of bid prices received;
- Bid evaluation report, including Summary of rating sheets;
- Appeals against procedures or award recommendations;
- Contract advertisement in newspaper;
- Signed copy of contract and performance security;
- Contract completion certificate and Stores Receipt Vouchers (SRV); and
- Copy of Contractors’ invoices and payment vouchers.

9.22.1  Records for Shopping

Records of procurements for Shopping methods are:

- Current market price for commonly used items (market list);
- Names and addresses of suppliers invited to quote and their prices;
- Names and addresses of selected suppliers, quantities, and value of orders;
- Copy of the Purchase Order;
- Copy of the Stores Receipt Voucher; and
- Copy of Suppliers’ invoices and payment vouchers.

9.22.2  Other Records

Other contract administration records that shall be maintained are:

- All contractual notices issued by contractors or the PCU, TIA or Beneficiary Agencies;
- Records of all changes or variation orders issued affecting the scope, quantities, timing and price of contract;
- Certificate of inspection and acceptance or rejection; and
- Records of claims and disputes and their outcome

9.23  Procurement Audit

Procurement audits or post procurement reviews, as applicable and agreed with the Bank, will be carried out every year. All documents related to procurement should be filed and kept systematically and safely. In addition, the World Bank and/or Ghana Audit Service may periodically conduct post review of the contracts. During a procurement audit, the Procurement Units of the PCU, TIAs and Beneficiary Agencies will be required to make available all relevant
documents to the Audit Team, as and when required.

9.24 Mis-procurement, Fraud and Corruption

9.24.1 Mis-procurement

Pursuant to the Bank’s General Conditions Applicable to Loan and Guarantee Agreements, the Bank does not finance expenditures for goods and works which have not been procured in accordance with the agreed procedure(s). It is the policy of the Bank to cancel that portion of the loan allocated to the goods and works that have been mis-procured. In addition, the Bank may exercise other remedies under the Financing Agreement.

Mis-procurement is the determination by the Bank that a particular procurement process has not been conducted in accordance with agreed procedure as outlined in the Loan, Credit, or Grant Agreement and is thereby to be cancelled by the Bank.

When the procedures followed for procurement are in violation of the agreed procedures as outlined in the Loan/Grant/Credit Agreement, the Bank would point this out and if not rectified, the Bank may declare mis-procurement and exercise other remedies under the Loan Agreement.

If, however, the contract has been entered into after obtaining the Bank’s “no objection,” the Bank generally will declare mis-procurement only if the “no objection” was issued on the basis of incomplete, inaccurate, or misleading furnished information.

9.24.2 Fraud and Corruption

Mis-procurement is triggered when a contract is awarded to the “wrong” bidder (i.e., is not awarded in accordance with the agreed procedures). However, there may be cases where the Bank determines that a bidder or procuring agency’s representative engaged in corrupt or fraudulent practices, but mis-procurement is not the appropriate remedy (e.g., a representative of the purchaser engaged in corruption while preparing an award recommendation but the award has not yet been made, or the corruption occurs during contract execution). In such cases, the Bank may impose the other sanctions.

Fraud or corruption can manifest itself in many varied ways and no World Bank operation is immune. All project staff and contractors should be alert for indicators that fraud or corruption may have occurred. These include suspicious or unexplained transactions, rumors of favored bidders, bid rigging, the use of shell companies to mask interests or ownership, lax enforcement of procurement rules, and other suspicious circumstances.

9.24.3 Reporting Fraud and Corruption

Allegations of bid-rigging or collusion in the procurement process (or indeed any concerns involving suspicions of fraud or corruption) in any Bank-funded project should be referred to the Department of Institutional Integrity Investigations Unit (INTIU), formerly known as the Anti-Corruption and Fraud Investigations Unit (ACFIU).

Referrals to INTIU can be made a number of ways as follows:
(1) Hotline: The public may use the hotline, which is operated 24 hours a day, 7 days a week by an outside firm staffed by trained specialists. Interpreters are available upon request. The toll-free number is: 1-800-831-0463

However, this toll-free hotline number is not accessible from all countries, so two additional mechanisms have been established to allow both Bank and the public to contact the Bank;

(2) Collect Call Hotline: Individuals may use the collect call (or reverse charge/free phone) number to contact the World Bank hotline from anywhere in the world at no expense to the caller. The call will be answered with the greeting “International Line.” The number is: 704-556-7046;

(3) Hotline P.O. Box: Individuals who do not have access to a telephone or do not wish to communicate by telephone may now communicate with the World Bank hotline via Post Office Box at the following address:
PMB
4736 Sharon Road, Suite W
Charlotte, NC 28210
USA

(4) Complaint form: In addition to the above, complaints or reports of fraud or corruption may be submitted directly by e-mail to the Department of Institutional Integrity Investigations Unit by using the Fraud and Corruption Complaint Form on the web site at www.worldbank.org.investigations

(5) E-mail: A further method of communicating concerns to the Investigations Unit is to send an e-mail to: investigations_hotline@worldbank.org.

9.24.4 Conflict of Interest

Bank policy requires that consultants provide professional, objective, and impartial advice and at all times hold the client’s interests paramount, without any consideration for future work, and that in providing advice they avoid conflicts with other assignments and their own corporate interests. Consultants shall not be hired for any assignment that would be in conflict with their prior or current obligations to other clients, or that may place them in a position of being unable to carry out the assignment in the best interest of the Borrower. Without limitation on the generality of the forgoing, consultants shall not be hired under the circumstances set forth below:

a. Conflict between consulting activities and procurement of goods, works or non-consulting services (other than consulting services covered by these Guidelines): A firm that has been engaged by the project to provide goods, works, or non-consulting services (other than consulting services) for a project, and each of its affiliates, shall be disqualified from providing consulting services related to those goods, works or services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, and each of its affiliates, shall be disqualified from subsequently providing goods, works or services resulting from or directly related to the firm’s consulting services for such preparation or implementation.

b. Conflict among consulting assignments: Neither consultants (including their personnel and sub-consultants) nor any of their affiliates shall be hired for any assignment that, by its nature, may be in conflict with another assignment of the consultants. As an example, consultants hired to prepare engineering design for an infrastructure project shall not be engaged to prepare an independent environmental assessment for the same project, and consultants assisting a client in the privatization of public assets shall neither purchase, nor advise purchasers of, such assets. Similarly, consultants hired to prepare Terms of Reference (TOR) for an assignment shall not be hired for the assignment in question.
c. Relationship with project staff: Consultants (including their personnel and sub-consultants) that have a business or family relationship with a member of project staff (or of the project implementing agency’s staff, or of a beneficiary of the loan) who are directly or indirectly involved in any part of: (i) the preparation of the TOR of the contract, (ii) the selection process for such contract, or (iii) supervision of such contract may not be awarded a contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Bank throughout the selection process and the execution of the contract.
CHAPTER 10: ENVIRONMENTAL AND SOCIAL MANAGEMENT

10.1 Overview

The Jobs and Skills Project, according to World Bank’s Environmental Assessment Policy (OP 4.01), is a Category B (partial) project. Specific sub-project activities that trigger potential environmental and social risks and impacts comprise: (a) the upgrading or refurbishment of public or private training providers engaged in apprenticeship training under Component 1; (b) provision of competitive business start-up capital grants to individuals who receive entrepreneurship support under Subcomponent 2.1; (c) provision of competitive grants to private enterprises under Subcomponent 2.2; and (d) the upgrading of select PECs and the installation of ICT for the GLMIS at PECs, other relevant local centers, and relevant ministries and agencies under Component 3.

The potential environment and social risks and impacts anticipated with these subproject activities are however minor, site-specific, short term, reversible, and related to noise nuisance, dust generation, and the health and safety of workers and the public. To address these potential risks and impacts from the project, the client prepared a broadly consulted Environmental and Social Management Framework (ESMF) for the implementation of the project because, at the time of project preparation, the specific project sites and activities were yet to be identified.

The ESMF sets out the principles, rules, guidelines, and procedures to screen, assess, manage, and monitor the mitigation measures aimed at addressing the environmental and social impacts of project activities. The ESMF was approved and disclosed in-country and on the World Bank’s website on July 12, 2019. Throughout project implementation, the Government shall ensure activities under the project (a) are carried out in accordance with the ESMF and (b) do not entail involuntary land acquisition or give rise to affected persons.

The main objective of this section of the PIM is to provide further guidance for the management of environmental and social risks and opportunities during the implementation of the GJSP, including the operationalization of the ESMF.

10.2 Potential Environmental and Social Issues, Risks and Impacts

Preliminary studies and assessments undertaken as part of ESMF preparation recognize the positive environmental and socio-economic impact that the project can generate. These assessments also highlight the potential negative environmental and social impacts and therefore the need for mitigation measures.

The potential environmental and social risks and impacts anticipated with the specific project component activities are listed in Table 26 below.
Table 30. Potential Activity-specific Environmental and Social Risks and Impacts

<table>
<thead>
<tr>
<th>1. Provision of apprenticeship and entrepreneurship and small and micro enterprise support to individuals and private enterprises for jobs under components 1 and 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a. Environmental</strong></td>
</tr>
<tr>
<td><strong>Impacts/Issues/Risks</strong></td>
</tr>
<tr>
<td>Waste generation and management</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• By products of business activities</td>
</tr>
<tr>
<td>• Poor sanitary conditions at workplace</td>
</tr>
<tr>
<td>• Possible use of grants for construction activities to expand</td>
</tr>
<tr>
<td>business premises</td>
</tr>
<tr>
<td>Air Pollution</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Use of machinery at some business premises</td>
</tr>
<tr>
<td>• Possible use of grants for construction activities to expand</td>
</tr>
<tr>
<td>business premises</td>
</tr>
<tr>
<td>• Burning of waste materials</td>
</tr>
<tr>
<td>Noise and Vibration</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Use of workplace machinery</td>
</tr>
<tr>
<td>• Possible use of grants for construction activities to expand</td>
</tr>
<tr>
<td>business premises</td>
</tr>
<tr>
<td><strong>b. Social</strong></td>
</tr>
<tr>
<td><strong>Skills development</strong></td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Entrepreneurial Training of MCPs, workers and apprentices</td>
</tr>
<tr>
<td>Improved capacity and skills of Training Providers and Training Coordinators</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Resource allocation to Training Institutions</td>
</tr>
<tr>
<td>• Training and equipment supply to Training Coordinators</td>
</tr>
<tr>
<td>Decent jobs for individuals and private enterprises</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Possibility of business expansions</td>
</tr>
<tr>
<td>Occupational, Safety and Health (OSH) Issues</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Lack of access and poor use of protective clothes</td>
</tr>
<tr>
<td>• No proper water and sanitation practices at workplaces</td>
</tr>
<tr>
<td>• Fire prevention and Control</td>
</tr>
<tr>
<td>Opportunity for women, the disabled and all vulnerable</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Priority and opportunity to be given to vulnerable groups in society.</td>
</tr>
<tr>
<td>Greater Coordination and Synergy within Trade Associations</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Use of Trade Associations as an important stakeholder in the</td>
</tr>
<tr>
<td>training of MCPs and Apprentices</td>
</tr>
<tr>
<td>Gender Based Violence &amp; SEA</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Mixed gender at workplaces</td>
</tr>
<tr>
<td>Discrimination based on gender</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Mixed gender at workplaces</td>
</tr>
<tr>
<td>Disagreement and Conflicts</td>
</tr>
<tr>
<td>Possible Sources:</td>
</tr>
<tr>
<td>• Interaction at workplace</td>
</tr>
</tbody>
</table>
### 2. Upgradation of selected Public Employment Centers under project Component 3

#### a. Environmental

<table>
<thead>
<tr>
<th>Impacts/Issues/Risks</th>
<th>Possible Sources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Creation of burrow pits leading to soil and land degradation</td>
<td>• Sourcing of earth materials</td>
</tr>
<tr>
<td>Vegetation losses, soil disturbance and Erosion</td>
<td>• Sourcing of earth materials</td>
</tr>
<tr>
<td>Air quality</td>
<td>• Rehabilitation works</td>
</tr>
<tr>
<td></td>
<td>• Transport of construction materials and waste</td>
</tr>
<tr>
<td></td>
<td>• Exhaust emissions for equipment including heavy duty trucks</td>
</tr>
<tr>
<td></td>
<td>• Burning of construction waste</td>
</tr>
<tr>
<td>Vibration and Noise</td>
<td>• Site demolition activities</td>
</tr>
<tr>
<td></td>
<td>• Rehabilitation works</td>
</tr>
<tr>
<td></td>
<td>• Noise from equipment</td>
</tr>
<tr>
<td>Generation and disposal of solid waste</td>
<td>• Construction/rehabilitation works</td>
</tr>
<tr>
<td></td>
<td>• Office waste</td>
</tr>
</tbody>
</table>

#### b. Social

<table>
<thead>
<tr>
<th>Relocation of staff and office equipment of PECs</th>
<th>Rehabilitation and refurbishment activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Occupational, Health and Safety risks</td>
<td>• Non-use of PPEs by construction workers</td>
</tr>
<tr>
<td></td>
<td>• Absence of first aid treatment and potable water for construction workers</td>
</tr>
<tr>
<td>Employment to Contractors and construction workers</td>
<td>Rehabilitation and refurbishment activities</td>
</tr>
<tr>
<td>Improved resource centre for employment.</td>
<td>Rehabilitation and refurbishment activities</td>
</tr>
<tr>
<td>Lack of meaningful consultation/citizens engagement</td>
<td>Rehabilitation and refurbishment activities</td>
</tr>
<tr>
<td>Possibility of dissent and complains</td>
<td>Rehabilitation and refurbishment activities</td>
</tr>
</tbody>
</table>
The environmental regulations of Ghana and the World Bank’s operational policies on environmental and social safeguards require that projects that present significant risks to the natural environment and communities must assess, plan, avoid, minimize and as a last resort, mitigate negative effects, while extending the development benefits that are presented by the project.

10.3 Guidelines for Mitigation and Enhancement Measures

Environmental and social mitigation consists of measures that can reduce the negative environmental and social impacts associated with implementation activities of the project. Under the GJSP, mitigation measures have been identified and expected to address significant impacts, both existing and potential, associated with the project. The general potential impacts and the mitigation measures are presented in Annex 15. The responsibilities for implementing these measures are described later in the manual.

10.4 World Bank Operational Policies Triggered and Applicable Ghana Policies and Statutes

**World Bank Policies**

The project has triggered Environmental Assessment OP 4.01 and the assigned environmental category of the project is B (partial) to address the potential risk and impacts from project activities discussed in previous sections of this PIM. A summary of the provisions of OP 4.01 is presented in Table 27 below.

<table>
<thead>
<tr>
<th>No.</th>
<th>World Bank Safeguard Policy</th>
<th>Summary of Core Requirements</th>
<th>Remarks or Recommendation for Proposed Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>EA OP 4.01</td>
<td>Projects should be screened for potential impacts and appropriate approaches selected to assess, minimize, and mitigate potentially adverse impacts. Affected groups and other stakeholders should be consulted as early as possible in the process.</td>
<td>The potential environment and social risks and impacts associated with the subproject activities are anticipated to be minor, site-specific, short term, reversible, and related mainly to noise nuisance, dust generation, and the health and safety of workers and the public. However, ESIAs/ESMPs and Social Audits may be required.</td>
</tr>
</tbody>
</table>

**Land acquisition, involuntary resettlement, and other social risks.**

The risk that the project induces land acquisition and involuntary resettlement is limited and insignificant. Competitive grants for private enterprises will finance only workforce training and technology services and inputs (Subcomponent 2.2). As a standard operating principle, the upgrading or refurbishment of the infrastructure of public or private training providers engaged under the apprenticeship training component (Component 1) or of district PECs (Subcomponent 3.2) will be limited to self-owned, readily available, and encumbrance-free land. Any works requiring land-take are not eligible for project support. Based on the low risk of land acquisition, Operational Policy 4.12 is not triggered. Despite the low-risk rating, the procedures and checklist
for risk screening as set out in the ESMF and this PIM will be used to identify, assess, and address notable social risks and impacts of project activities. The screening process will also identify opportunities for improving social performance of the project during the implementation of subprojects.

**Government of Ghana Policies and Statutes**

The policy, legislation and institutional procedures of Ghana, which are relevant to the GJSP and therefore considered include:

- Ghana’s Environmental Policy;
- Environmental Protection Agency Act, 1994 (Act 490);
- Ghana Environmental Impact Assessment Procedures (1995);
- Environmental Assessment Regulations, 1999 (LI 1652);
- Fees and Charges (Miscellaneous Provisions) Instrument, 2019 (LI 2386);
- Ghana Labour Act 2003
- National Gender Policy 2015

Other National and Sector Policy Frameworks and Legislations were also considered. These include; The 1992 Constitution of the Republic of Ghana; Local Governance Act of 2016, (Act 936); National Labour, Safety and Health Requirements, Ghana Shared Development and Growth Agenda II (2014 - 2017), National Employment Policy, among others. In case there is a disparity between the National EPA Regulations and the World Bank Policies the more stringent standard would apply.

**10.5 Implementation Process/Strategies for Developing Environmental and Social Safeguards Instruments**

**10.5.1 Technical Specifications, Guidelines and Standards**

The TIAs (COTVET, NBSSI, MELR, MESTI) will be responsible for developing and presenting clear guidelines for the design and provision of technical specifications and standards for subprojects. The specifications will be adapted to incorporate sustainability and climate and disaster risk adaptation measures to inform the safeguards studies and decision making of the PCU, the TIAs and beneficiary MMDAs. This will include adequate reference to sector schedules and prescribed environmental codes of practice. The PCU, TIAs and local governments will further abide by promulgated bylaws to govern developments in their respective areas of jurisdiction.

All specifications, guidelines and standards used by the project shall comply with any applicable national requirements, international standards and conventions ratified by Ghana, and also the applicable policies and guidelines of the World Bank Group.

**10.5.2 Preliminary Environmental and Social Screening Process**

Preliminary environmental and social screening shall mark the beginning of risk management process for any planned activity. The preliminary screening shall be initiated as early as possible along with the sub-project planning process. The extent of environmental assessment that might be required to be carried out in respect of a proposed sub-project will depend on the outcome of the preliminary screening process. A checklist for Preliminary Environmental and Social Screening is included in Annex 16 of this manual.
The Environmental and Social Safeguards Specialist or Focal Person of the respective TIAs must foremost carry out the preliminary environmental and social screening for each proposed sub-project and prepare a screening report. The screening report shall be submitted to the PCU safeguards persons, who would coordinate with the World Bank for:

- Confirmation of their significance; and
- Confirmation of appropriate safeguards instrument that should be prepared for the sub-project in order that the project implementation is in compliance with the World Bank safeguards policies and national environmental requirements.

Where there are minimal or no impacts, TIAs must consult internally with their safeguard persons at the respective IAs, and the safeguards person at the PCU and have a confirmation from the World Bank. Once an agreement is reached, the TIA safeguard person may proceed with the minimum regular reporting requirements which will be discussed and agreed with the EPA and the World Bank prior to commencement of works/action.

The Ghana Environmental Assessment (EA) procedures and the WB safeguards policies (Environmental Assessment BP/OP 4.01) shall be duly followed in the assessment of sub-project activities.

No sub-project requiring preparation of a safeguards instrument shall commence until the said safeguards instrument is completed by the Client, approved by the World Bank and EPA, and disclosed publicly in Ghana and on the World Bank external website.

10.5.3 Environmental and Social Assessment Procedures

The environmental approval and permitting processes will be guided by the Ghana EIA procedures (EPA Act, 1994 (Act 490)), the EPA Environmental Assessment Regulations, 1999 (LI 1652), and the World Bank safeguards policies. The Ghanaian and World Bank procedures are largely similar, and will both apply to all sub-project activities. The Ghana EIA procedure is discussed in detail in the sections following.

The adopted Ghana EIA procedures and steps as stipulated in the EPA Act, 1994 (Act 490) and LI 1652 of 1999) and consistent with World Bank safeguard policy OP4.01 to ensure environmental and social compliance include:

Step 1: Environmental Registration of the Project

Every TIA shall designate an Environmental and Social Safeguards Officer as part of the agency project implementation team. The appointed/designated Officer will be directly responsible for carrying out the aforementioned preliminary screening of all subprojects (under the guidance of the PCU safeguards specialist) and completing the relevant EPA Environmental Assessment Registration forms (EA forms) (see Annex 17). The completed forms shall be submitted to the PCU for onward transmission to the EPA as required in accordance with the Environmental Assessment Regulations of 1999.

Step 2: Initial Environmental and Social Assessment (Screening)

Upon submission of sub-project registration particulars and information to the EPA, the project proponents (PCU and TIAs) shall collaborate with the EPA to undertake physical visit to the proposed project site to conduct an EPA Screening Exercise taking into consideration factors such as:

- Location, size and likely output of the undertaking;
- Technology intended to be used;
• Concerns of the general public, if any, and in particular concerns of immediate residents, if any; and
• Land use and other factors of relevance to the particular undertaking to which the application relates.

Following the EPA screening exercise, the EPA field officers will prepare a screening report for their directors with the appropriate recommendations. Based on the recommendations, EPA will then write to officially inform the PCU of the outcome of the screening exercise. This decision, as prescribed by the Ghana EIA procedures, is expected within 10 days of receiving the Registration Form and could be any of the following:

• Objection to the project;
• No objection to the project (equivalent to World Bank Category C Project);
• Preliminary Environmental Assessment (PEA) required (equivalent to World Bank Category B Project);
• Environmental and Social Impact Assessment (ESIA) required (equivalent to World Bank Category A or B Project).

For projects determined to have only minor environmental and social risks, and therefore receiving the ‘no objection’ from the EPA and the World Bank (WB Category C project), the PCU and TIAs may move to implementation in accordance with pre-approved standards or codes of practices or the pre-approved guidelines for environmental and social management as outlined in the ESMF. The PCU should liaise with the World Bank and EPA on screening reports and decisions in a timely manner.

**Step 3: Conduct Environmental and Social Assessment Studies**

In instances where the EPA and/or World Bank conclude that an activity requires a preliminary environmental report (PER)/ESMP, the PCU and TIAs shall prepare and submit a PER or ESMP to the EPA and World Bank. The PER or ESMP will contain details extending beyond that contained in the initial application. The PER or ESMP must state specifically the detailed effects of the proposed undertaking on the environment and social setting. Where a PER is approved by EPA, it is registered, and an environmental permit is issued. The ESMP share be prepared upon the approval of well-defined and approved TOR.

In the event that on receipt of a PER the EPA and/or World Bank is satisfied that there will be significant adverse impact on the environment and social setting, the PCU and TIAs shall submit an environmental and social impact statement (ESIS) on the undertaking.

**Procedures for Projects Requiring an ESIS**

**First stage: Scoping and Preparation of Terms of Reference**

The EA Regulations require that the extent of ESIS shall be outlined in a Scoping Report. The scoping report shall be carried out by the implementing agencies (PCU and TIAs) and include draft terms of reference (TOR) which must indicate the essential issues to be addressed in the ESIS. The scoping report shall be submitted to EPA and the World Bank for approval and clearance.

The TIA Safeguards Officer in collaboration with the PCU Safeguards Specialists, will prepare the **scoping report** (incorporating the Terms of Reference for the ESIA). The scoping report may be prepared using issues identified during the screening exercise (**Checklist in Annex 16**)
and also the registration of the project with the EPA (Registration form- Annex 17). Also, the impact mitigation measures provided in the project ESMF may provide some basis for the design of the scoping report. The scoping report shall be consulted on with stakeholders and concerns incorporated prior to its finalization. A generic TOR for procurement of ESIS Consultant is included in Annex 18 of this manual.

Second stage: Selection of consultant

The selection process shall be in conformance with provisions under the Ghana Public Procurement Act, 2003 (Act 663) as amended 2016 (Act 913) and be guided by the procurement policies and procedures of the World Bank Group. The procurement report and contract for the ESIA consultant shall be cleared with the World Bank team for “no objection.”

Third stage: Preparation of the ESIS with community consultation.

The ESIS must address potential direct and indirect impact of the undertaking on the environment and social setting at the pre-construction, construction, operation, decommissioning and post-decommissioning phases. Additionally, potential changes in social, cultural and economic patterns must be dealt with in the ESIS.

The ESIS shall also include an Environmental and Social Management Plan (ESMP) in accordance with the Environmental Assessment Regulations of 1999 (LI 1652) to ensure that the project activities are carried out in an environmentally safe and sustainable manner. The ESMP should outline management commitment and measures, action plan for implementation of mitigation measures and a monitoring plan to ensure the sustainable implementation of the proposed sub-project. An estimated budget for the implementation of the ESMP shall also be included.

The ESIS report will follow the following format:

- Description of the study area;
- Description of the subproject;
- Discussion and evaluation of alternatives;
- Environment description;
- Legal and regulatory context;
- Identifying potential impacts of proposed sub-projects;
- Process of public consultations; and
- Development of mitigation measures and a monitoring plan, including estimates of costs and responsibility for implementation of surveillance and monitoring (ESMP).

Step 4: Review and Approval of the ESISs, Publication/Dissemination of ESISs

The implementing agencies (TIAs) shall submit the draft ESIS to the PCU for onward transmission to EPA and the World Bank for review. The EPA and World Bank laid down procedures for review of ESISs shall be followed. In addition, all EPA laid down procedure for public noticing and feedback shall be adhered to.

All ESISs shall be cleared by the World Bank and also disclosed in-country and on the World Bank website. Copies of ESISs shall be placed at vantage points including the EPA Library, relevant MMDAs, EPA Regional Offices and the sector Ministries.

Step 5: Public Hearing

Where a Public Hearing is required, the PCU and TIAs in conjunction with the EPA will organize
same. Regulation 17 of the LI 1652 (1999) specifies three conditions that may trigger the holding of a public hearing. These are:

- Where notice issued under EPA EA regulation 16 results in great public reaction to the commencement of the proposed undertaking;
- Where the undertaking will involve the dislocation, relocation or resettlement of communities, and;
- Where the EPA considers that the undertaking could have extensive and far-reaching effects on the environment.

The outcomes/concerns expressed by the stakeholders at the Public Hearing shall be used to finalize the ESIS document.

The flow chart below (Figure 19) depicts the EA procedures of the EPA.
Figure 19: Administrative Flow Chart of the EA Procedure

EIA – Environmental Impact Assessment
EIS – Environmental Impact Statement
PER – Preliminary Environmental Report
PEA – Preliminary Environmental Assessment
PH – Public Hearing
WD – Working Days Required for Review
EA – Environmental Assessment
EP – Environmental Permit
EPA Action
Proponent Action
Public
<table>
<thead>
<tr>
<th>No</th>
<th>Steps/Activities</th>
<th>Responsible</th>
<th>Collaboration</th>
<th>Service Provider</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Identification and/or siting of the sub-project</td>
<td>MELR - PIU</td>
<td>• PCU</td>
<td>EPA</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Safeguards Specialist – PCU</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>• FP - Regional Labour Department</td>
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<td></td>
<td></td>
<td></td>
<td>• FP - MMDA</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Environmental and Social screening of proposed project intervention to assist in</td>
<td>• Safeguards Specialists – TIAs and</td>
<td>• PCU</td>
<td>WB</td>
</tr>
<tr>
<td></td>
<td>project formulation using E&amp;S checklist.</td>
<td>PCU</td>
<td>• MELR – PIU</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>• FP - Regional Labour Department</td>
<td></td>
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<td></td>
<td>• FP - MMDA</td>
<td></td>
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<tr>
<td>3.</td>
<td>Screening, categorization and identification of the required instrument</td>
<td>• Safeguards Specialist – PCU</td>
<td>• PCU</td>
<td>EPA</td>
</tr>
<tr>
<td></td>
<td>(use the national EIA procedure)</td>
<td></td>
<td>• MELR – PIU</td>
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<td></td>
<td></td>
<td></td>
<td>• FP - Regional Labour Department</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>• FP - MMDA</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Approval of the classification and the selected instrument by EPA</td>
<td>PC - PCU</td>
<td>• Safeguards Specialist – PCU</td>
<td>EPA</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• The World Bank</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Preparation of the safeguard document/instrument (ESIA, ESMP, and Safeguards</td>
<td>Preparation and approval of the ToRs</td>
<td>• Procurement Specialist - PCU</td>
<td>The World Bank</td>
</tr>
<tr>
<td></td>
<td>Audit.) in accordance with the national legislation/procedure (taking into</td>
<td>Preparation of the report</td>
<td>• FP - Regional Labour Department</td>
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<tr>
<td></td>
<td>account the Bank policy requirements).</td>
<td></td>
<td>• FP - MMDA</td>
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<td></td>
<td></td>
<td>Report validation and issuance of the</td>
<td>• Procurement Specialist - PCU</td>
<td>EPA</td>
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<td></td>
<td></td>
<td>permit (when required)</td>
<td>• FP - Regional Labour Department</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• FP - MMDA</td>
<td>The World Bank</td>
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<tr>
<td></td>
<td></td>
<td>Disclosure of the document</td>
<td>PC - PCU</td>
<td>Media</td>
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<td>The World Bank</td>
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<tr>
<td>6.</td>
<td>(i) Integrating the construction phase mitigation measures and E&amp;S clauses in</td>
<td>Technical staff in charge of the</td>
<td>• Safeguards Specialist – PCU</td>
<td>Control Supervisor</td>
</tr>
<tr>
<td></td>
<td>the bidding document prior advertisement; (ii) ensuring that the constructor</td>
<td>sub-project (TS-PCU)</td>
<td></td>
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<tr>
<td></td>
<td>prepares an ESMP (C-ESMP), gets it approved and integrates the</td>
<td></td>
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<tr>
<td></td>
<td>relevant measures in the works breakdown structure (WBS) or execution plan.</td>
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</tr>
<tr>
<td>7.</td>
<td>Implementation of the other safeguards measures, including environmental monitoring (when relevant) and sensitization activities</td>
<td>• Safeguards Specialist – PCU</td>
<td>• Procurement Specialist - PCU</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• FP - Regional Labour Department</td>
<td>• Monitoring and Evaluation Specialist (M&amp;E-PCU)</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>• FP - MMDA</td>
<td>• FS-PCU)</td>
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<td></td>
<td></td>
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<td>• FP - Regional Labour Department</td>
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<td></td>
<td>• FP - MMDA</td>
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<td></td>
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<td></td>
<td>• Consultant</td>
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<td></td>
<td>• NGOs</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>• CSOs</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Oversight of safeguards implementation (internal)</td>
<td>• Safeguards Specialist – PCU</td>
<td>• Safeguards Specialist – PCU</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Reporting on project safeguards performance and disclosure</td>
<td>PC - PCU</td>
<td>M&amp;E-PCU</td>
<td></td>
</tr>
<tr>
<td></td>
<td>External oversight of the project safeguards compliance/performance</td>
<td>EPA</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Building stakeholders’ capacity in safeguards management.</td>
<td>Safeguards Specialist – PCU</td>
<td>Procurement Specialist - PCU</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• WB</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>• Consultant</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>• EPA</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Independent evaluation of the safeguards performance (Audit)</td>
<td>Safeguards Specialist – PCU</td>
<td>Procurement Specialist - PCU</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Consultant</td>
<td></td>
</tr>
</tbody>
</table>
10.6 Amendments to Safeguards Instruments

The Government of Ghana shall not amend, abrogate or waive, or permit to be amended, abrogated or waived, any provision of the Safeguards Instruments, whether in whole or in part, unless the World Bank has provided its prior approval thereof in writing, and the Government of Ghana, represented by the implementing ministries has complied with the same consultation and disclosure requirements as applicable to the original adoption of the Safeguards Instruments.

10.7 Safeguard Instruments and Project Implementing Agencies

The Project Implementing Agencies shall:

(a) Prior to the commencement of any works under the Project, obtain all the necessary environmental clearances and permits, as applicable, for all such activities in accordance with national regulations;

(b) Whenever ESIA, EMP, ESMP or any other additional or revised Safeguards Instrument is required for any proposed Project activity, in accordance with the provisions of the ESMF:

(i) Prior to the commencement of such activity, proceed to have such additional or revised Safeguards Instrument: (a) prepared in accordance with the provisions of the ESMF; (b) furnished to the EPA and the World Bank for review and approval; and (c) thereafter adopted and disclosed as approved by the EPA and Bank, in a manner acceptable to the EPA and Bank;

(ii) Take such measures as shall be necessary or appropriate to ensure compliance with the requirements of such additional or revised Safeguards Instrument; and

(c) Ensure that no works or activities requiring land take shall be funded under the project. However, where land is dedicated to Project’s civil works, demonstrate and show evidence satisfactory to the EPA and Bank that the said land has been properly acquired in accordance with national laws and Bank safeguards policies.

10.8 Environmental and Social Safeguard Consultants

Under the GJSP, Environmental and Social Safeguard Consultants shall be hired to prepare subproject-specific Environmental Impact Assessments and any other instruments that may be considered necessary in the course of project implementation. These Consultants shall be guided by the ESMF that have already been prepared under the project and this PIM. The Consultants will work closely with the Safeguards Specialists of the GJSP PCU and the Safeguard officers of the TIAs.

The GJSP PCU and the respective TIAs shall ensure that: (i) all consultancies related to technical assistance under the Project shall only be undertaken pursuant to terms of reference reviewed and found satisfactory by the Bank; and (ii) such terms of reference shall duly incorporate the requirements of the Bank’s applicable safeguards policies and procedures then in force and shall require the technical assistance activities to take into account the requirements of said policies.

The GJSP PCU and the respective TIAs shall ensure that all the bidding documents and contracts include the obligation of the relevant contractors and subcontractors to: (a) comply with the relevant aspects of Safeguard Instruments; (b) adopt and implement measures to assess and manage the risks and impacts of labor influx; (c) adopt and enforce codes of conduct that should be provided to and signed by all workers, detailing measures on environmental, social, health and safety, gender-based violence and violence against children; all as applicable to such civil works commissioned or carried out pursuant to said contracts.
The consultants will be conversant with the World Bank safeguards policies, the instruments and their application. Particular attention will be on the safeguards policies triggered by the project. The Consultants’ level of understanding should be adequate to facilitate training and other capacity related activities on safeguards. Sample TOR for ESIA Consultants is included in Annex 18 of this manual.

10.9 Roles and Responsibilities of Safeguards Actors

The main responsibility for implementing the environmental and social mitigation interventions of the entire project rests with the Project Coordinator and Safeguards Specialists appointed in the PCU. They will be supported by (as needed) environmental and social experts who will be recruited by the project. The project implementation teams located at the various TIAs will also have their respective safeguards focal persons who will oversee the implementation of all actions to mitigate adverse environmental and social impacts within the respective sub-projects.

The respective roles and responsibilities of the assigned safeguard persons are summarized below.

**PCU - Project Coordinator (PC)**

The PC is the head of the PCU and will provide strategic direction for the overall management of the Project. The PC shall oversee the implementation of the safeguards requirements of the project in accordance with National and World Bank systems and guidelines as well as other aspects of the project procurement, financial management, monitoring and evaluation and management information systems.

**PCU Safeguards Specialists**

The PCU safeguard specialists will be responsible for:

- Coordination of environmental and social safeguards management across all projects;
- Leadership across the MDAs and beneficiaries levels for the implementation of safeguards and giving direction to the entire safeguards process on the project;
- Providing guidance and project level information and tools on safeguards for all stakeholders;
- Providing leadership and oversight over adequacy of TORs for safeguards consultancy assignments;
- Assisting the management of environmental and social safeguard experts (consultants);
- Responsible for coordinating all safeguard activities with the World Bank, the EPA and implementing agencies, including safeguards reports and disclosures;
- Preparation of relevant checklists, guidance notes and manuals in support of the safeguards focal persons at the TIA and beneficiary level; and
- Overseeing all environmental and social safeguard training and capacity building activities.

**Technical Implementation Agency (TIA) Safeguards Focal Persons**

The TIA Safeguard Focal Persons will:

- Ensure that all environmental and social safeguards issues are incorporated into Bid and specifications documents for all sub project types. This will ensure that at the contractor level, ESMP and alternative designs which seek to reduce and minimize identified impacts from the ESIA process are incorporated in the bid and specification documents;
• Collaborate with relevant authorities (chiefs and elders) and other community members and facilitate the implementation of subprojects and implementation of any other safeguards related activity;

• Ensure that safeguards issues are included as part of the training at TIA and beneficiary levels and contractors invited to participate;

• Draft safeguards report based on collated documents and reports from MMA activities as part of usual reporting on the project.

• Be the first point of contact for the TIA in case of any challenging issues on subproject-related safeguards - environmental, social, health and safety and draw the PCU safeguard specialists’ attention in case of lack of resolution;

• Review safeguards studies including ESIAs which will be prepared by consultants in the course of project implementation;

• Complete screening checklists for works and activities under their respective sub-projects in consultation with the safeguards specialists based in the PCU; and

• Perform any other related activities that may be assigned by the PCU safeguard specialists.

10.10 Safeguard Instruments and Contractors

Under the GJSP, Contractors shall comply with any specific Environmental Management Plan (EMP) or Environmental and Social Management Plan (ESMP) for the works they are responsible for. The Contractors shall prepare their work strategies and plans including Construction Environmental and Social Management plans, to fully take into account relevant provisions of that EMP or ESMP, whichever is applicable. If any Contractor fails to implement the approved EMP or ESMP after written instructions by the TIA Technical Lead (TL) to fulfil his obligation within the requested time, the Implementing Agency reserves the right to arrange through the TL for execution of the missing action by a third party on account of the Contractor.

The Contractor shall implement all measures necessary to avoid undesirable adverse environmental and social impacts wherever possible, restore work sites to acceptable standards, and abide by any environmental performance requirements specified in an EMP or ESMP.

The TIAs shall ensure that the obligation to comply with the relevant Safeguard Instruments is incorporated:

(a) In the contracts between the implementing entities and the relevant contractor(s) and any entity (including any engineer) supervising the Project’s civil works; and

(b) In the contracts between the relevant contractor(s) and the contractors’ Sub-contractors.

The Implementing Agencies, shall ensure that all the bidding documents and contracts include the obligation of the relevant contractors and subcontractors to:

i. Adopt and implement measures to assess and manage the risks and impacts of labor influx and workers’ camps;

ii. Adopt and implement measures to assess and manage Gender Based Violence (GBV) and Sexual Exploitation and Abuse (SEA); and

iii. Adopt and enforce codes of conduct that should be provided to and signed by all workers; as applicable to such civil works commissioned or carried out pursuant to said contracts.

10.11 Safeguards Capacity Needs and Training

The project shall provide technical safeguards support throughout the project life, including
regular training programs for key project environmental and social specialists. Officers of the PCU, TIA and beneficiary entities shall undergo relevant training to be able to manage environmental and social safeguard issues efficiently.

10.11.1 Capacity Needs Assessment

The capacity building process shall start with capacity needs assessment. As part of the preparation of the ESMF, MDAs in charge of project implementation were assessed based on their operational structure, budgetary resources and inventory, relevant skills and experience, adaptive management, stakeholder engagement, grievance redress and disclosure of information. None had positive result in all indicators assessed, the majority mostly had negative results. The Ministry of Education had positive response to almost all indicators due to previous World Bank projects (Ghana Skills and Technology Development Project-GSTDP) implemented by the Ministry of Education, which had Safeguards Specialists, as well as existing education projects (Secondary Education Improvement Project-SEIP). The other IAs barely had any experience in handling environmental and social risks, hence the need for capacity building12. The PCU, upon the effectiveness of the project, shall undertake further assessment of the environmental and social safeguards management capacities and readiness of all project implementation units (PCU and TIA). This shall be done in close collaboration with (and under technical direction of) EPA and the World Bank. The major capacity issues to be covered by the assessment shall include adequacy of staffing, skill sets and the availability of and exposure to the use of appropriate modern technologies within the main implementing agencies. A capacity needs and training assessment report shall be prepared, outlining the capacity deficiencies, recommended training or capacity augmentation programme, and a schedule and estimated budget for the entire duration of the project. This shall form the basis of annual capacity building and training schedule and budgeting, which shall be incorporated into the annual work plan for approval and clearance by the World Bank.

10.11.2 Training Modules, Schedules, Beneficiaries and Resource Requirements

Informed by the aforementioned Capacity Assessment, the PCU shall ensure that training is categorized along specific thematic areas and targeted at various stakeholders at various levels in the TIA and project beneficiaries. The capacity building will include training workshops, seminars, clinics, field visits and production of guidance reports and tools.

The main beneficiaries for training shall be the safeguard focal persons at the PCU, TIA and the beneficiary interfaces. These latter officers shall have the primary responsibility to involve the communities in the interventions and shall therefore require some training to be effective. Their focus shall be on the Modules 4, 9 and 10 (in the table below) where they shall be exposed to environmental and social management plans prepared for the sub-projects and grievance redress mechanisms.

The implementation of the training and awareness creation will be timely and therefore planned during the early stages of the implementation of the project, to ensure that all actors are ready when the sub-projects roll out. Periodically, during the execution of the projects the safeguard persons may congregate at safeguards clinics to share ideas and learn lessons from each other.

The PCU shall ensure that training manuals and checklists shall be required to assist safeguard focal points to carry out their functions. Such checklist and manuals shall include those designed for environmental and social screening of projects.

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12 Refer to Appendix C of the ESMF for results of the assessment of Environmental and Social Safeguards capacities of implementing agencies
The training programmes below (as indicated in the ESMF) are recommended, in addition to any that the aforementioned capacity assessment report may advise.

<table>
<thead>
<tr>
<th>Module No</th>
<th>Training Module Content</th>
<th>Participants</th>
<th>Training Entity</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>World Bank Safeguard policies of OP 4.12 and OP 4.01</td>
<td>PCU – MoF</td>
<td>WB</td>
<td>To be determined</td>
</tr>
<tr>
<td></td>
<td></td>
<td>PIU – MoELR</td>
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<td></td>
<td></td>
<td>PIU – MoE (COTVET and Skills Development Fund)</td>
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<td></td>
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<td>PIU – MESTI</td>
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<td></td>
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<td>PIU – MoTI (NBSSI)</td>
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<td></td>
<td></td>
<td>RCC Focal Persons</td>
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<td></td>
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<td>MMDA Focal Persons</td>
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<td></td>
<td></td>
<td>Training Service Providers</td>
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<td></td>
<td></td>
<td>Contractors, Supervising engineers</td>
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<tr>
<td>2</td>
<td>World Bank Group EHS Guidelines</td>
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<tr>
<td>3</td>
<td>Ghana EPA Environmental Assessment Regulations</td>
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<tr>
<td>4</td>
<td>ESMF</td>
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<tr>
<td>5</td>
<td>Stakeholder Engagement Techniques and Procedures</td>
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<td>6</td>
<td>Screening Checklist, including climate and disaster risk assessment</td>
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<td>7</td>
<td>Preparation of Terms of Reference for ESIs and ESMP</td>
<td>PCU – MoE (COTVET and Skills Development Fund)</td>
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<td></td>
<td></td>
<td>PIU – MESTI</td>
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<td>PIU – MoTI (NBSSI)</td>
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<td></td>
<td></td>
<td>RCC Focal Persons</td>
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<td></td>
<td></td>
<td>MMDA Focal Persons</td>
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<td></td>
<td>Training Service Providers</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Contractors, Supervising engineers</td>
<td></td>
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<tr>
<td>8</td>
<td>Completion of EA Registration Forms</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>9</td>
<td>Environmental and Social Management Plans</td>
<td></td>
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<tr>
<td>10</td>
<td>Grievance redress registration and resolution forms</td>
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<td>11</td>
<td>Adherence to Decent Work</td>
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<td>12</td>
<td>Emergency Response Preparedness</td>
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</table>

### 10.12 Environmental and Social Monitoring and Reporting

Monitoring of environmental and social issues will form an essential part of activities to be conducted under the GJSP. Oversight of the environmental and social monitoring will be ensured by the PCU through the TIAs, safeguard specialists on the project, contractors and consultants, if necessary.

During preparation of sub-project specific instruments, it shall be ensured that E&S monitoring plans are prepared which encompasses clear and definitive parameters to be monitored for each sub-project.

#### 12.1.1 Internal Monitoring

**Monitoring and Evaluation Specialist**

The PCU shall include a Monitoring and Evaluation (M&E) Specialist. The M&E Specialist shall independently monitor and report on the effectiveness of project implementation. Environmental and social safeguards activities, including GBV/SEA activities shall form a key part of the M&E Specialist’s supervisory activities as relevant. The M&E Specialist will perform a higher-level oversight function by confirming that project actors, including the GRM actors and the designated grievance redress actors address and resolve all project-related complaints. The M&E Specialist will also verify that a functional GRM is in place and functioning, and also the provisions of any ESMP including GBV action plan are implemented adequately.
Monitoring Consultant

The project may contract the services of Monitoring Consultant(s) to support environmental and social monitoring activities. The monitoring consultant will be required to have an experienced Occupational Health and Safety (OHS) team with experience in GBV so that part of the monitoring can be used to evaluate the quality of the GBV actions undertaken. The monitoring consultant’s quarterly reports shall capture the effectiveness of GBV implementation.

10.12.2 External Monitoring

On the side of the statutory regulatory bodies like the EPA and Factories Inspectorate Division of MELR, compliance monitoring shall be done especially by EPA to satisfy itself that any permit conditions, relevant standards, and mitigation measures are being fulfilled by the contractors and implementing agencies.

The World Bank on its periodic missions, will also conduct safeguards monitoring to establish the level of compliance with the frameworks and other safeguards instruments prepared.

The PCU, TIAs and partnering agencies shall facilitate and ensure smooth conduct of all monitoring activities.

10.12.3 Environmental and Social Reporting

Safeguards reporting under the GJSP will be done at all levels of project implementation; from the beneficiary interface level, through the TIAs levels to the PCU level.

At the beneficiary interface/site level, the Contractor(s) and training providers shall provide a monthly ESHS Report to the TIAs for tracking of implementation of environmental and social mitigation issues, where applicable. A monthly complaints report shall also be provided by the Contractor(s) and training providers through the dedicated TIA safeguards officers.

At the TIA and PCU levels, monthly and quarterly progress reports shall be prepared regarding safeguards screening, EPA Permits, Terms of References for safeguards instruments, safeguards instruments (ESIAs/ESMP), completion reports and grievance redress reports (including GBV/SEA issues).

10.12.4 Reports on Safeguard Instruments Implementation

The PCU shall, in accordance with terms of reference satisfactory to the Bank: (i) monitor the status of compliance with the Safeguards Instruments; and (ii) prepare quarterly reports and furnish the same to the Bank, as part of the Project Management Reports, on the results of such monitoring activities, giving details of:

(a) Measures taken in furtherance of the Safeguards Instruments;
(b) Conditions, if any, which interfere or threaten to interfere with the smooth implementation of the Safeguards Instruments;
(c) Remedial measures taken or required to be taken to address such conditions; and
(d) Grievances received (if any) and measures taken to resolve them.

10.13 Stakeholder Consultations and Public Disclosure

Engagement and consultation of stakeholders are critical for project success. As such, during the project preparation process, the Government and the World Bank consulted on project design with a range of stakeholders including trade unions and associations, private sector enterprises and associations, and groups representing the interests of youth, women, and persons with
disabilities. The Government also prepared, and will implement, a Stakeholder Engagement Plan (SEP) for this project. The plan specifies procedures for disclosing relevant project information, identifying and responding to the informational needs and concerns of multiple stakeholders, and presenting opportunities for incorporating feedback from project beneficiaries as the project is implemented.

10.13.1 Stakeholder Identification and Analysis

Stakeholders were identified, their interest assessed and analyzed, and incorporated in the design of the SEP and this PIM. The identified project stakeholders are categorized into:

1. **Primary stakeholders**: Individuals, groups or local communities that may be affected by the Project, positively or negatively and directly or indirectly especially those who are directly affected, including those who are disadvantaged or vulnerable. The primary stakeholders identified for this project include:
   a. Apprentices/job seekers
   b. Mastercraft persons
   c. Cooperatives, Trade Associations and Sector Skills Councils
   d. Public and Private Training Providers
   e. Private enterprises and their workforces

2. **Secondary stakeholders**: Broader stakeholders who may be able to influence the outcome of the Project because of their mandate, relationship and knowledge about the affected communities or political influence. Secondary stakeholders for the project include:
   a. Council for Technical and Vocational Education Training (COTVET, Skills Development Fund)
   b. National Board for Small Scale Industries (NBSSI)
   c. Ministry of Employment and Labour Relations (MELR)
   d. Communities/community leaders and members
   e. Metropolitan, Municipal, and District Assemblies (MMDAs) and Focal Persons
   f. Regional Coordinating Councils (RCCs) and Focal Persons
   g. Youth Employment Agency (YEA)
   h. Ministry of Finance
   i. Ministry of Education
   j. Ministry of Trade and Industry (MoTI)
   k. Ministry of Environment, Science, Technology and Innovation (MESTI)

In addition to the above, the section also identifies and assesses the needs of some disadvantaged or vulnerable individuals or groups, who may have limitations in participating and/ or in understanding the project information or in participating in the consultation process. Based on this assessment and considering other aspects including stakeholder requirements/ needs and interests, the stakeholder list below is categorised as (i) affected parties; (ii) Actors: (iii) other interested parties; and (iv) disadvantaged/ vulnerable individuals or groups. The stakeholder list is a “living document” which will be updated regularly throughout the project life as appropriate.
### Table 34. List of Affected Stakeholders and Level of Impact

<table>
<thead>
<tr>
<th>Type of Stakeholder/ Level of Impact</th>
<th>High Impact&lt;sup&gt;13&lt;/sup&gt;</th>
<th>Medium Impact&lt;sup&gt;14&lt;/sup&gt;</th>
<th>Low Impact&lt;sup&gt;15&lt;/sup&gt;</th>
</tr>
</thead>
</table>
| **Affected persons and groups**     | • Apprentices/job seekers  
• Mastercraft persons  
• Public and Private Training Providers  
• Training Instructors  
• Cooperatives and associations  
• Private enterprises and their workforces  
• Trade Associations/ Sector Skills Councils  
• Contractors/Sub-contractors and Supervising engineers  
• Staff of Public Employment Centres (PECs)  
• Communities/community leaders and members around Public Employment Centres  
• Project Technical Implementation Team (including safeguards)  
• Communities and Community Leaders/members - (women, vulnerable groups and persons etc.)  
• Metropolitan, Municipal, and District Assemblies (MMDAs) and Focal Persons | • Ministry of Education  
• Ministry of Trade and Industry (MoTI)  
• Ministry of Environment, Science, Technology and Innovation (MESTI)  
• Council for Scientific and Industrial Research (CSIR)  
• Youth Employment Agency (YEA) | • Regional Coordinating Councils (RCCs) and Focal Persons |

<sup>13</sup> Primary/direct stakeholders (key actors and beneficiaries), having high interest, power and influence on the success of the project.

<sup>14</sup> Direct/indirect stakeholders with an interest and influence on the success of the project.

<sup>15</sup> Secondary/indirect stakeholders who are likely to have minimal influence and less directly affected.
<table>
<thead>
<tr>
<th>Type of Stakeholder/ Level of Impact</th>
<th>High Impact</th>
<th>Medium Impact</th>
<th>Low Impact</th>
</tr>
</thead>
</table>
| Other Interested                    | ● Development Partners  
● Office of the President (Cabinet)  
● National Youth Authority (NYA)  
● Ministry Gender, Children and Social Protection  
● Ministry of Food and Agriculture (MoFA)  
● Ministry of Youth and Sports  
● Ministry of Justice and Attorney-General's Department  
● Financial Institutions  
● Private job centres  
● District Assemblies  
● Department of Social Welfare  
● Community Based Organisations (CBOs) | ● Environmental Protection Agency (EPA)  
● Ministry of Local Government and Rural Development  
● Parliament  
● Selected Parliamentary Select Committees  
● Ghana Police Service  
● Media | ● Civil Society Organizations (CSOs)/ Non-Governmental Organizations (NGOs) |
| Vulnerable groups                   | ● Persons with Disabilities  
● Women  
● Youth | | |
The table below also identifies and assesses the needs of some disadvantaged or vulnerable individuals or groups to help determine suitable engagement strategies.

<table>
<thead>
<tr>
<th>Stakeholder group</th>
<th>Key Characteristics</th>
<th>Language needs</th>
<th>Preferred notification</th>
<th>Specific needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individuals/Youth (potential apprentices) with disabilities</td>
<td>Hearing impairment (Hearing loss)</td>
<td>Braille, audio, sign language</td>
<td>Written information</td>
<td>Accessible training venues, including PECs, sign language translators/interpreters</td>
</tr>
<tr>
<td></td>
<td>Visual impairment (Low vision or blindness)</td>
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<tr>
<td></td>
<td>Physical impairment (Mobility disabilities)</td>
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<td></td>
<td>Speech impairment, amongst others</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Aged/elderly</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Master crafts persons with disabilities</td>
<td>Hearing impairment (Hearing loss)</td>
<td>Braille, audio, sign language</td>
<td>Written information</td>
<td>Accessible training venues, sign language translators/interpreters</td>
</tr>
<tr>
<td></td>
<td>Visual impairment (Low vision or blindness)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Physical impairment (Mobility disabilities)</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Speech impairment, amongst others</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Aged/elderly</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Women</td>
<td>Consultation times will have to align with the needs of women. Women may have limitations about time of day or location for public consultation; they may need child care for meetings or other additional support and resources to enable them to participate in consultations.</td>
<td>Local language as appropriate</td>
<td>Verbal, community announcement, focused group meetings etc</td>
<td>Meetings in close-by locations within communities</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Gender sensitive teaching and learning environments</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>Accessible grievance redress system</td>
</tr>
</tbody>
</table>

10.13.2 Stakeholder Engagement Program

Meaningful stakeholder engagement throughout the project cycle will:

- Inform stakeholders about project objectives, scope and manage expectations
- Solicit feedback to inform project design, implementation, monitoring and evaluation
- Assess and mitigate project environmental and social risks
- Enhance project outcomes and benefits
- Build constituencies and collaboration
- Disseminate project information/materials
Receive and address project-related grievances

Adequate stakeholder consultations will require effective timing and advanced planning. To ensure information is readily accessible to affected stakeholders, and adequate representation and participation of the different groups in the process, the Project Implementation Agencies will adopt different methods and techniques based on an assessment of stakeholder needs. Methods for engagement are listed in Table 33 below.

Table 37. Ghana Jobs and Skills Project Stakeholder Engagement Methods

<table>
<thead>
<tr>
<th>Engagement Technique</th>
<th>Description and use</th>
<th>Target audience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Websites</td>
<td>The Project PAD and PIM, as well as the ESMF and SEP will be published on official websites of partnering and implementing Ministries and Agencies and the World Bank</td>
<td>All stakeholders</td>
</tr>
<tr>
<td>Media announcements</td>
<td>Advance announcements of commencement of major project activities, project Grievance Redress Mechanism, and other outreach needs of the project e.g. call for skills training, SDF applications and sensitization on services of PECs.</td>
<td>Project-affected stakeholders and communities</td>
</tr>
<tr>
<td>Information Centre and Information Boards</td>
<td>Advance announcement of commencement and progress for major project activities</td>
<td>Project-affected communities</td>
</tr>
<tr>
<td>Community durbars/ public meetings</td>
<td>These interactive platforms will be used to convey general information on the Project, detailed discussions on sub-project activity that is planned by the project, project environmental and social risks and mitigation measures and to provide regular updates on implementation progress to local, regional and national stakeholders.</td>
<td>Project-affected communities</td>
</tr>
<tr>
<td>Correspondence by phone/ email/ written letters</td>
<td>Distribute project information to government officials, organizations, agencies and companies and invite stakeholders to meetings</td>
<td>Government officials, NGOs, CSOs, CBOs, trade associations, Development Partners</td>
</tr>
<tr>
<td>Printed media advertisement</td>
<td>This will be used to disseminate and disclose project documents intended for general readers and audience (e.g. ESMF, ESIA, ESMP) Advertise project procurements, as applicable</td>
<td>General public</td>
</tr>
<tr>
<td>Distribution of printed public materials: Project information leaflets, brochures, fact sheets</td>
<td>This will be used to convey general information on the Project and to provide regular updates on its progress to local, regional and national stakeholders.</td>
<td>General public</td>
</tr>
<tr>
<td>Internet/ Digital Media</td>
<td>Use of the official websites of partnering and implementing Ministries and Agencies to promote various information and updates on the overall Project, impact assessment and impact management process, procurement, employment opportunities, as well as on Project's engagement activities with the public</td>
<td>Project stakeholders and other interested parties that have access to the internet resources.</td>
</tr>
<tr>
<td>One-on-one interviews</td>
<td>This will be used to solicit views and opinions on project impacts and solutions.</td>
<td>Vulnerable individuals, CSOs, NGOs/ trade associations, job seekers, DPs etc.</td>
</tr>
<tr>
<td>Dedicated hotline and short code</td>
<td>A designated and manned telephone line and short code will be set up that can be used by the public to make complaints and grievances, obtain information, make enquiries, or provide feedback on the Project.</td>
<td>Project affected persons, and any other stakeholders and interested parties</td>
</tr>
<tr>
<td>Workshops</td>
<td>This channel will be used to: (i) Present project information to a group of stakeholders; (ii) Allow the group of stakeholders to provide their views and opinions; (iii) Use participatory exercises to facilitate group discussions, brainstorm issues, analyze information, and develop recommendations and strategies; and (iv) Recording of responses.</td>
<td>Government, NGOs, CSOs, DPs, Private Sector Associations</td>
</tr>
</tbody>
</table>
Engagement and consultation will take at least two forms. First, the project will carry out consultations in various regional capital towns. These consultations will present platforms for the project implementing and partnering agencies to engage with public and private training providers, master craft persons, cooperatives and associations for trades and persons with disabilities, PECs, BACs, and prospective and incumbent individual beneficiaries. Consultation will be extended to encourage project participation of vulnerable groups including the poor, youth, women, and persons with disabilities. Second, the project will implement proactive, systematic, and extensive outreach and information dissemination at the regional and district levels to communicate messages about the opportunities presented by the project and the criteria for participation, and to encourage youth, women, the poor, and persons with disabilities to participate in the project.

10.13.3 Proposed strategy to incorporate the views of vulnerable groups

The principle of inclusiveness will guide the stakeholder engagements, particularly with respect to vulnerable individuals and groups. The project will make reasonable provisions to cater for representation from remote areas, persons with limited physical abilities, vision, hearing and speech impairment amongst others, and those with insufficient financial and transportation means to attend public meetings scheduled by the Project. In cases where vulnerable status may lead to people’s reluctance or physical incapacity to participate in large-scale community meetings, the project will hold separate small group discussions with them at an easily accessible venue. This way, the project will reach out to groups who, under normal circumstances, may be insufficiently represented at general community gatherings. Some strategies to be adopted to reach out to these groups include:

- Identifying leaders of vulnerable and marginalized groups to reach-out to these groups
- Maintaining information flow through existing disability associations and maintaining a database of marginalized groups e.g. Ghana Federation of Disability Organisations.
- Providing special features in the Ghana Labour Market Information System (GLMIS) for persons with disability.
- Leveraging existing social protection projects which include vulnerable populations and use their systems to identify and engage them
- Engaging community leaders, CSOs and NGOs working with vulnerable groups
- Organizing face-to-face focus group discussions with these populations.

10.13.4 Proposed strategy for information disclosure

Stakeholder engagement on the Ghana Jobs and Skills Project will follow the standard project management cycle, which are: (i) Preparation and Design Phase; (ii) Implementation Phase; (iii) Monitoring Phase; and (iv) Completion and Evaluation Phase. The strategy for information disclosure is presented in Table 34 below.
<table>
<thead>
<tr>
<th>Project stage</th>
<th>List of information to be disclosed</th>
<th>Method proposed</th>
<th>Time table: Location</th>
<th>Target Stakeholders</th>
<th>Topic consultation</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation/Design phase</td>
<td>Project Appraisal Document (PAD)</td>
<td>Official websites</td>
<td>MOE, MELR, MoTI, MESTI, NBSSI, COTVET, Project duration</td>
<td>International, National, Regional and district stakeholders</td>
<td>Project design, benefits and impact</td>
<td>WB, MoF, MOE, MELR, MoTI, MESTI, NBSSI, COTVET, Project Coordination Unit</td>
</tr>
<tr>
<td></td>
<td>ESMF, SEP</td>
<td>Newspaper publications</td>
<td>Once in 2 national daily newspapers</td>
<td>National, Regional and district stakeholders</td>
<td>Environmental and Social Management, Procurement, stakeholder engagement</td>
<td>WB, MoF, MOE, MELR, MoTI, MESTI, NBSSI, COTVET, Project Coordination Unit, Safeguards Team</td>
</tr>
<tr>
<td></td>
<td>Workshops</td>
<td>3 workshops – South, middle and Northern sectors</td>
<td>Regional, District and community level</td>
<td>Project concept, Mode of selection of subprojects, benefits, impacts</td>
<td>MOE, MELR, MoTI, MESTI, NBSSI, COTVET, Project Coordination Unit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Community durbars and Consultation with affected parties</td>
<td>Community Information Centers</td>
<td>Community Level stakeholders</td>
<td>Project concept, Mode of selection of subprojects, benefits, impacts</td>
<td>MOE, MELR, MoTI, MESTI, NBSSI, COTVET, Project Coordination Unit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Distribution of printed documents in relevant institution</td>
<td>Community Information Centers</td>
<td>National, Regional and district stakeholders Community level</td>
<td>Project concept, benefits and impacts</td>
<td>MOE, MELR, MoTI, MESTI, NBSSI, COTVET, Project Coordination Unit</td>
<td></td>
</tr>
<tr>
<td>Implementation Phase</td>
<td>Project design and implementation</td>
<td>Project inception stakeholder meetings</td>
<td>National, regions and districts</td>
<td>Project staff, beneficiary communities</td>
<td>COTVET, NBSSI</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Project progress reports</td>
<td>Annual/mid-year project stakeholder meetings</td>
<td>National, regions and districts</td>
<td>Project progress</td>
<td>MELR, MESTI, NBSSI, COTVET, Project Coordination Unit</td>
<td></td>
</tr>
</tbody>
</table>

Table 38. Ghana Jobs and Skills Project Strategy for Information Disclosure
<table>
<thead>
<tr>
<th>Project stage</th>
<th>List of information to be disclosed</th>
<th>Method proposed</th>
<th>Time table: Location</th>
<th>Target Stakeholders</th>
<th>Topic of consultation</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marketing and communication of apprenticeship programme</td>
<td>Sensitization on Skills Development Fund</td>
<td>Community Durbars, Newspaper publications, Radio adverts</td>
<td>Community Information Centres, Workshops</td>
<td>Beneficiary communities</td>
<td>Project concept and implementation modalities</td>
<td>MELR, MESTI, NBSSI, COTVET, Project Coordination Unit</td>
</tr>
<tr>
<td>Safety and health survey at PEC sites and beneficiary establishments</td>
<td>Safety and health survey at PEC sites and beneficiary establishments</td>
<td>Community Durbars, PECs</td>
<td>Project communities</td>
<td>Beneficiary communities</td>
<td>Occupational health and safety</td>
<td>MELR, Project Coordination Unit</td>
</tr>
<tr>
<td>Operational Phase</td>
<td>Annual Sector Performance reports Environmental and Social Audit reports Updates on project activities</td>
<td>Notice boards of RCCs, Regional and District offices of NBSSI, COTVET, PECs</td>
<td>RCCs, Regional and District offices of NBSSI, COTVET, PECs</td>
<td>Regional and district stakeholders</td>
<td>Performance of Training Service Providers, grants, job connections, GRM, Security, GBV education</td>
<td>Inter-Ministerial Committee, MOE, MOE, MELR, MoTI, MESTI, NBSSI, COTVET, PCU</td>
</tr>
<tr>
<td>Completion Phase</td>
<td>Project Completion Report Institutional completion reports</td>
<td>COTVET, MELR, MESTI, NBSSI,</td>
<td>All Stakeholders</td>
<td>Project results</td>
<td></td>
<td>MOE, MELR, MoTI, MESTI, NBSSI, COTVET, PCU</td>
</tr>
</tbody>
</table>
10.14 Gender and GBV/SEA

Gender is an important dimension of the entire value-chain of the project, particularly regarding the inclusion of women as direct beneficiaries of the project activities. The project has strong gender and women empowerment focus. The project will build on initiatives and encourage the full participation of females and women through the awareness and the targeted capacity building and training. To ensure female participation and that women have equal opportunities to participate in and benefit from the project as men do, the implementation of the project will (i) be guided by analysis of gender; (ii) improved awareness of women’s potentials; (iii) generate and disaggregate data according to gender; (iv) contribute towards addressing women’s skill constraints through inclusion in capacity building and training opportunities; and (v) highlighting gender equality at community and beneficiary level sensitization and dialogue. The project is contributing to closing gender gaps and vulnerability to violence and sexual exploitation through providing access to opportunities and improved capacity building among others. GBV/SEA, HIV/AIDS, sexually transmitted diseases/infections (STD/I) and widening gender inequality will be identified and addressed through the preparation and implementation of a Stakeholder Engagement Plan and meaningful consultation.

10.15 Grievances Redress Mechanism

Throughout project implementation, the Government will maintain a GRM for the project, with staffing and operating procedures acceptable to the World Bank, for monitoring and addressing the concerns of people affected by the project and for building public and stakeholder support for the project.

The main objective of a Grievance Redress Mechanism (GRM) is to assist an entity to resolve complaints and grievances in a timely, effective and efficient manner that satisfies all parties involved. The GRM is an integral part of the SEP and helps to create avenues for receiving and responding to stakeholder concerns and complaints about issues related to the project. Specifically, it provides a transparent and credible process for fair, effective and lasting outcomes. It also builds trust and cooperation as an integral component of broader community consultation that facilitates corrective actions. Specifically, the GRM:

- Provides affected people with avenues for making a complaint or resolving any dispute that may arise during the implementation of projects;
- Ensures that appropriate and mutually acceptable redress actions are identified and implemented to the satisfaction of complainants; and
- Avoids the need to resort to judicial proceedings.

Having multiple stakeholders and implementing agencies on board the project could lead to complaints, misunderstandings, conflicts and disputes. The project will provide a grievance redress mechanism that would provide all direct and indirect beneficiaries, service providers and other stakeholders the opportunity to raise their concerns. Stakeholders would be informed of the grievance redress mechanism in place, as well as the measures put in place to protect them against any reprisal for its use. This will be done during sensitizations and other interactions with stakeholders.

10.15.1 Proposed Grievance Redress Mechanism

The Project will have a Project Coordinating Unit (PCU) at the MoF and Project Implementation Units (PIUs) at (MoE/ COTVET/ SDF, MoTI/ NBSSI, MELR and MESTI). The project will have a single GRM, with field-level complaint collection points at project sites, including
through MELR’s PECs and NBSSI’s BACs, as well as through direct email, social media, text, and call options. All project coordinating, implementing, and partnering agencies will also serve as direct complaint collection points. The Government’s environmental and social safeguard specialists in COTVET and MELR and the environmental and social safeguard focal persons in NBSSI and MESTI will play a key role in instituting and operationalizing the project’s GRM. The Safeguards Specialist or a dedicated staff at the PCU would be responsible for management of the central grievance redress system.

The project’s Grievance Redress Mechanism (GRM) will include provisions and facilitate project beneficiaries to report incidents of potential abuse and exploitation. The project’s GRM will allow those exposed to SEA to report cases through multiple options. The environmental and social safeguard specialists/focal persons in the project implementing agencies will be trained on gender, GBV, and SEA. Efforts will also be made to raise general awareness on gender, GBV, and SEA in the communities served by the project. Stakeholder engagement and consultation, discussed next, will also cover gender, GBV, and SEA issues. The proposed GRM structure is shown below.

Management and resolution of complaints will primarily lie with management and operational staff in the main implementing and partnering agencies. Cases that are unresolved by the implementing and partnering agencies will be elevated to relevant bodies as needed until they are resolved, in the following order: first, the Project Coordinating Unit in MOF; second, the project’s Steering Committee; third, the project’s Inter-Ministerial Oversight Committee; and fourth, the judicial system. A GRM MIS will be developed and integrated into the GLMIS in MELR. All project coordinating, implementing, and partnering agencies will have links to the GRM MIS. The procurement of goods and services for the development and operationalization of the GLMIS, including the GRM MIS, will be undertaken by MELR, using project funds under Component 3.

The proposed GRM recommends four key steps as follows:

- Receive and register grievances or complaints;
Acknowledge, assess and assign (Acknowledge receipt of grievance, outline how grievance will be processed, assess eligibility and assign responsibility)

- Propose Response
- Agreement on Response
- If agreement is reached, implement agreement
  - If agreement is not reached, review case and
  - If no agreement is reached under the review process, then the case can be referred to the law courts or other administrative structures for resolution.

10.15.2 Recommended Grievance Redress Timeframe

The table below presents the recommended time frames for addressing grievance or disputes related to resettlement and compensation. It is envisaged that resettlement/compensation disputes could be resolved at the community or regional levels.

<table>
<thead>
<tr>
<th>Step</th>
<th>Process</th>
<th>Time frame</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Receive and register grievance</td>
<td>within 24 hours</td>
</tr>
<tr>
<td>2</td>
<td>Acknowledge</td>
<td>within 24 hours</td>
</tr>
<tr>
<td>3</td>
<td>Assess grievance</td>
<td>Within 24 hours</td>
</tr>
<tr>
<td>4</td>
<td>Assign responsibility</td>
<td>Within 2 Days</td>
</tr>
<tr>
<td>5</td>
<td>Development of response</td>
<td>within 7 Days</td>
</tr>
<tr>
<td>6</td>
<td>Implementation of response if agreement is reached</td>
<td>within 7 Days</td>
</tr>
<tr>
<td>7</td>
<td>Close grievance</td>
<td>within 2 Days</td>
</tr>
<tr>
<td>8</td>
<td>Initiate grievance review process if no agreement is reached at the first instance</td>
<td>within 7 Days</td>
</tr>
<tr>
<td>9</td>
<td>Implement review recommendation and close grievance</td>
<td>within 14 Days</td>
</tr>
<tr>
<td>10</td>
<td>Grievance taken to court by complainant</td>
<td>-</td>
</tr>
</tbody>
</table>

10.15.3 Grievance Documentation and Reporting

Resolved and escalated grievances/cases would be documented daily (as tickets) into the centralized GRM system by the assigned grievance managers at the various PIUs. The Safeguards Specialist or a dedicated staff at the PCU would exercise oversight over the system and track the resolution of all grievances/cases.

Monthly case/grievance reports will be generated from the system by the Safeguards Specialist or a dedicated staff at the PCU and reported to the Project Coordinator to inform management decisions. Quarterly reports will also be generated and reported to the MoF as part of the Project’s Progress Reporting to the World Bank. Periodic reports will also be generated within a reasonable time frame for stakeholders upon request irrespective of the period (e.g. bi-annual, annual etc.). Customized project GRM reports may also be requested from the implementing and partnering agencies by MOF and the World Bank on an ad hoc basis.

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress
mechanisms or the WB’s Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB’s independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB noncompliance 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.
CHAPTER 11: MONITORING AND EVALUATION

11.1 Overview

Overall responsibility for project monitoring will lie with MOF, through the Project Coordinating Unit. Primary responsibility for monitoring specific project activities will lie with the respective implementing and partnering ministries and agencies. Progress and performance reviews of the project, including the monitoring system, will be conducted annually by third parties, starting from the second year of project implementation. Informed by these reviews, the Government can address any identified weaknesses in monitoring arrangements and implementation, using project funds under Component 4.

For monitoring beneficiary individuals, enterprises, associations and cooperatives, and training providers, information will be collected through self-reporting, following a schedule and using standardized forms and procedures. Information from these beneficiaries will also be collected through monitoring visits by assigned staff from implementing and partnering ministries and agencies.

Self-reporting and Government monitoring will be supplemented by monitoring field visits conducted by third parties at least once a year, starting from the second year of project implementation. Monitoring will extend at least one year after the end of project participation by beneficiaries to track employment status. In all the noted forms of monitoring of these beneficiaries, information on social and environmental management indicators and citizen feedback will be collected. As part of project supervision, World Bank staff and consultants will conduct monitoring visits to select project sites. During these monitoring visits, citizen feedback will be collected. Data gathered through the noted forms of monitoring will allow for, as relevant, disaggregation by sex, disability status, age, and geographic location, among other dimensions.

During the first year of project implementation, the Government and the World Bank will explore the desirability and feasibility of integrating rigorous impact evaluation designs into Components 1 and 2. Multiple research studies, comprising diagnostic studies, process evaluations, institutional and program reviews, and tracer studies, are also planned. Primary and secondary data collection and analysis for the planned research studies will be conducted by third parties contracted by the Government using project funds under Component 4. The World Bank will advise on research design and analysis. The planned research studies will seek to provide findings separately by sex, disability status, age group, and geographic location, among other dimensions.

To support overall labor market information collection and use, the Government will fully develop, operationalize, maintain, and use the GLMIS managed by MELR. The GLMIS information will be at the individual or enterprise level and can be aggregated by different categories such as sex, disability status, age group, and geographic location for individuals. Use of the GLMIS will be enabled at district PECs of MELR, other relevant local centers, and relevant ministries and agencies. The GLMIS, and any labor market reports based on data from the GLMIS, will also be made accessible for public use. Relevant management information systems and databases managed by other ministries and agencies will be linked to the GLMIS. These databases include the Artisan Directory Platform and Jobs Center of the Youth Employment Center, and the TVMIS of COTVET. Project funds, through Component 3, will be made available to MELR for the procurement of goods and services needed for the GLMIS development activity.

Project funds, through Component 4, will be made available for the procurement of goods and services needed to strengthen the monitoring and evaluation capacity of implementing and partnering ministries and agencies, as well as the procurement of services for third-party
monitoring to supplement Government capacity.

Project funds, through Component 4, are also made available for the procurement of goods and services to strengthen (a) the TVMIS managed by COTVET, which aims to capture key status, progress, and performance information on the entire TVET sector, including apprenticeship training and (b) an STI MIS managed by MESTI, which aims to capture key status, progress, and performance information on science, technology, and innovation (STI) entities and activities in the country. Currently, the TVMIS is in an early stage of development while the STI MIS is in an early stage of conceptualization.

11.2 Results Accountability Framework

The GJSP results accountability framework is provided in Table 40.
Table 40. **GJSP Results Accountability Framework**

### Project Development Objective Indicators

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>PBC</th>
<th>Baseline</th>
<th>End Target</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>To support skills development and job creation in the Recipient’s territory</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percentage of apprenticeship training program participants that complete the program and have jobs at least six months after completion (Percentage)</td>
<td>60.00</td>
<td>70.00</td>
<td></td>
</tr>
<tr>
<td>Percentage of female apprenticeship training program participants that complete the program and have jobs at least six months after completion (Percentage)</td>
<td>50.00</td>
<td>60.00</td>
<td></td>
</tr>
<tr>
<td>Percentage of entrepreneurship program participants that complete the program and have jobs at least six months after completion (Percentage)</td>
<td>60.00</td>
<td>70.00</td>
<td></td>
</tr>
<tr>
<td>Percentage of female entrepreneurship program participants that complete the program and have jobs at least six months after completion (Percentage)</td>
<td>50.00</td>
<td>60.00</td>
<td></td>
</tr>
<tr>
<td>Percentage of grant-receiving private enterprises that have increased workforces at least six months after the completion of grant support (Percentage)</td>
<td>0.00</td>
<td>50.00</td>
<td></td>
</tr>
<tr>
<td>Percentage of grant-receiving private enterprises that have increased female workforce at least six months after the completion of grant support (Percentage)</td>
<td>0.00</td>
<td>50.00</td>
<td></td>
</tr>
<tr>
<td>Number of upgraded Public Employment Centers (PECs) that provide improved job connection services (Number)</td>
<td>0.00</td>
<td>16.00</td>
<td></td>
</tr>
</tbody>
</table>

### Intermediate Results Indicators by Components

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>PBC</th>
<th>Baseline</th>
<th>End Target</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Component 1: Provision of Apprenticeship Training for Jobs</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percentage of females provided apprenticeship training, under a formalized, standardized, and quality-assured system (Percentage)</td>
<td>0.00</td>
<td>50.00</td>
<td></td>
</tr>
</tbody>
</table>
### Component 1: Implementation of Apprenticeship Training Program

**TVET Voucher System**

- **TVET Voucher System is operational and provides up to date information on individuals attending apprenticeship training (Yes/No):** Yes
- **End Target:** Yes

### Component 2: Provision of Entrepreneurship and Micro and Small Enterprise Support for Jobs

**Percentage of females offered entrepreneurship training, under a standardized, quality-assured program (Percentage):** 0.00

**Percentage of females receiving training in firms that are awarded SDF grants (Percentage):** 31.00

**NBSSI MIS is operational and keeps track of individuals undergoing entrepreneurship training and individuals/groups selected to receive start-up capital grants (Yes/No):** No

**Intensive outreach conducted to solicit SDF applications from lagging regions and from under-represented groups (Yes/No):** Yes

### Component 3: Operationalization of LMIS, Upgrading of PECs, and Review of Youth Employment Programs

**LMIS fully operationalized in MELRs and PECs (Yes/No):** No

**Regional public sensitization events on the availability, access, and use of the GLMIS by stakeholders (Number):** 0.00

**Youth employment and skills development programs reviewed and provided with technical assistance for reform (Yes/No):** No

### Component 4: Capacity Development, Technical Assistance, and Project Management Support

**Proportion of grievances resolved within three months of being entered in the GRM database (Percentage):** 0.00

### Monitoring & Evaluation Plan: PDO Indicators

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>Definition/Description</th>
<th>Frequency</th>
<th>Datasource</th>
<th>Methodology for Data Collection</th>
<th>Responsibility for Data Collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percentage of apprenticeship training program participants that complete the program and have jobs at least six months after completion</td>
<td>Apprenticeship training is the activity specified in the PAD description of Component 1</td>
<td>Annual, starting from the second year of project</td>
<td>Third party contracted by the Government using project funds</td>
<td>Field-based survey of a representative random sample of apprenticeship program participants, based on agreed standardized methods</td>
<td>COTVET</td>
</tr>
<tr>
<td>Indicator/Description</td>
<td>Method/Source</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jobs refer to private self-employment or wage employment</td>
<td>Indicator measured through direct self-response to survey question on economic activity in the reference week</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Due to the structure of apprenticeship system, some apprentices will continue to receive training and be employed with their master craft persons upon completion of their training under the TVET Voucher Program supported by the project. Training graduates under the TVET Voucher Project who remain with their master craft persons for continued apprenticeship training will be enumerated as in employment.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percentage of female apprenticeship training program participants that complete the program and have jobs at least six months after completion</td>
<td>Information is identical to parent indicator</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percentage of entrepreneurship program participants that complete the program</td>
<td>Entrepreneurship support is the activity specified in the Annual, starting from the second Third party contracted by the Field-based survey of a representative random sample of NBSSI</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
and have jobs at least six months after completion |

| PAD description of Subcomponent 2.1 |
| Jobs refer to private self-employment or wage employment |
| Indicator measured through direct self-response to survey question on economic activity in the reference week |
| year of project implementation |
| Government using project funds |
| entrepreneurship program participants at the intermediate level, based on agreed standardized questionnaire and sampling and survey procedures |
| Frame for the sample obtained from the NBSSI MIS for the entrepreneurship support activity, used by the project |

| Percentage of female entrepreneurship program participants that complete the program and have jobs at least six months after completion |
| Information is identical to parent indicator |

| Percentage of grant-receiving private enterprises that have increased workforces at least six months after the completion of grant support |
| Training grants to enterprises is the activity specified in the PAD description of Subcomponent 2.2 |
| The number of workers (workforce size) in all grantee enterprises will be measured before the release of grants and at least six months after grant implementation |
| Annual, starting from the second year of project implementation |
| Third party contracted by the Government using project funds |
| Field-based survey of a representative sample of grant-receiving enterprises, based on agreed standardized data collection instruments and procedures |
| Frame for the sample obtained from the SDF Grant Management System, used by the project |

COTVET
<table>
<thead>
<tr>
<th>Indicator measured through interviewer self-observation and investigation of enterprise recordkeeping</th>
<th>Information is identical to parent indicator</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Percentage of grant-receiving private enterprises that have increased female workforce at least six months after the completion of grant support</strong></td>
<td>Upgrading of PECs and provision of job connection services must be accompanied by active input of data and use of the GLMIS and as specified in other ways in the PAD description of Subcomponent 3.2</td>
<td>Annual, starting from the second year of project implementation</td>
</tr>
<tr>
<td>Indicator measured through interviewer self-observation, investigation of PEC recordkeeping and GLMIS activity (number of job connection cases opened and closed in the GLMIS) and beneficiary satisfaction surveys</td>
<td>Third party contracted by the Government using project funds</td>
<td>Field-based inspection of all PECs receiving support under the project, based on agreed standardized data collection instruments and procedures</td>
</tr>
<tr>
<td><strong>Number of upgraded Public Employment Centers (PECs) that provide improved job connection services</strong></td>
<td></td>
<td>MELR</td>
</tr>
<tr>
<td>Indicator Name</td>
<td>Definition/Description</td>
<td>Frequency</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
<td>----------------------------</td>
</tr>
</tbody>
</table>
| Percentage of females provided apprenticeship training, under a formalized, standardized, and quality-assured system | Apprenticeship training is the activity specified in the PAD description of project component 1  
Indicator measured through the project management information system | Annual, starting from the first year of project implementation | Project Management Information System | Database of beneficiaries who go through a formalized, standardized apprenticeship training | Council for Technical and Vocational Education and Training (COTVET) |
| TVET Voucher System is operational and provides up to date information on individuals attending apprenticeship training | TVET Voucher is defined as a financial instrument that gives access to formal vocational training. It covers the cost of accredited training units offered by registered institutional training providers.  
The existing TVET Voucher System will be used to manage and monitor the process of apprenticeship training. | Annual, starting from the first year of project implementation | COTVET | Database of beneficiaries to be submitted to the Bank team for verification. A third party will monitor a sample of the individuals, MCPs, and trainers to verify and tally information with TVET Voucher System, which should have a date and time entry of enrollment for all trainees and MCPs. | COTVET |
<p>| Percentage of females offered entrepreneurship training, under a standardized, quality-assured program | Entrepreneurship support is the activity specified in the PAD description of project component 1 | Annual, starting from the first year of project implementation | Project Management Information System | Database of beneficiaries managed by the project | COTVET and National Board for Small Scale Industries (NBSSI) |</p>
<table>
<thead>
<tr>
<th>Percentage of females receiving training in firms that are awarded SDF grants</th>
<th>Indicator measured through the project management information system</th>
<th>Training grants to enterprises is the activity specified in the PAD description of project component 2. Indicator measured through independent monitoring of enterprise record-keeping.</th>
<th>Annual, starting from the second year of project implementation</th>
<th>Third party contracted by the government using project funds</th>
<th>Verification of enterprise record-keeping by third party</th>
<th>Council for Technical and Vocational Education and Training (COTVET)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NBSSI MIS is operational and keeps track of individuals undergoing entrepreneurship training and individuals/groups selected to receive start-up capital grants</td>
<td>Provision of entrepreneurship training and start-up capital grant will be verified through an individual level database, which will contain information with time and date of entry on: a) All individuals who complete apprenticeship training, and b) All individuals who complete apprenticeship training and entrepreneurship training, with information on individual level characteristics (age, gender, education level, demographic characteristics and others defined in the Project Operations Manual)</td>
<td>Annual, starting from the first year of project implementation.</td>
<td>NBSSI</td>
<td>NBSSI will submit a database of beneficiaries to the bank for verification. An independent third-party will verify the information on trainees, grantees, training providers, and intermediaries.</td>
<td>NBSSI</td>
<td></td>
</tr>
<tr>
<td>Intensive outreach conducted to solicit SDF applications from lagging regions and from under-represented groups</td>
<td>Intensive and systematic outreach for soliciting applications from high-growth potential enterprises and female-headed enterprises in socioeconomically lagging regions and districts in Ghana will be conducted through intermediaries.</td>
<td>Annual, starting from the first year of project implementation.</td>
<td>COTVET</td>
<td>An independent third-party will verify that outreach activities have been conducted, acceptable to the bank, in all of the 10 regions in the country. Acceptable outreach must be conducted in all regions for the indicator to have a value of &quot;Yes&quot;.</td>
<td>COTVET</td>
<td></td>
</tr>
<tr>
<td>---</td>
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<td>---</td>
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<td>---</td>
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<td></td>
</tr>
<tr>
<td>LMIS fully operationalized in MELRs and PECs</td>
<td>Operationalization of LMIS is defined by 11 activities covered in Paragraph #83 of the project document.</td>
<td>Annual, starting the first year of project implementation</td>
<td>MELR</td>
<td>Visit to a sample of MELR offices by an independent third-party for verification of operationalization.</td>
<td>MELR</td>
<td></td>
</tr>
<tr>
<td>Regional public sensitization events on the availability, access, and use of the GLMIS by stakeholders</td>
<td></td>
<td>Annual, starting in the first year of project implementation</td>
<td>MELR</td>
<td></td>
<td>MELR</td>
<td></td>
</tr>
<tr>
<td>Youth employment and skills development programs reviewed and provided with technical assistance for reform</td>
<td>MELR will contract third parties to conduct independent, in-depth reviews of youth employment and skills development programs in the first two years of project implementation.</td>
<td>Annual, starting in the first year of project implementation.</td>
<td>MELR</td>
<td>Document outlining the review of youth employment and skills development programs, acceptable to the Bank.</td>
<td>MELR</td>
<td></td>
</tr>
</tbody>
</table>
Proportion of grievances resolved within three months of being entered in the GRM database

Measures GRM functionality. See the GRM section of the PAD for additional details on how the complaints are registered, recorded, and resolved.

Quarterly, starting the first year of project implementation

Quarterly GRM report submitted by the Ministry of Finance (MOF)

COTVET will prepare and submit standardized reports on project GRM implementation status and progress at COTVET, NBSSI, and MESTI to the project’s coordinating unit in MOF on a quarterly basis. Likewise, MELR, through its environmental and social safeguard specialist, will do the same for itself.

Ministry of Finance (MOF)

<table>
<thead>
<tr>
<th>Performance-Based Conditions Matrix</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PBC 1</strong></td>
</tr>
<tr>
<td><strong>Type of PBC</strong></td>
</tr>
<tr>
<td>Outcome</td>
</tr>
<tr>
<td>Period</td>
</tr>
<tr>
<td>Baseline</td>
</tr>
</tbody>
</table>

202
<p>| To be achieved in project year 1 | (a) COTVET develops and approves Competency-Based Training packages in at least 10 additional priority trades; and (b) COTVET accredits at least 50 additional training providers for the provision of Competency-Based Training | 4,000,000.00 | n/a |
| To be achieved in project year 2 | (a) COTVET develops and approves Competency-Based Training packages in at least 20 additional priority trades; and (b) COTVET accredits at least 50 additional training providers for the provision of Competency-Based Training | 4,000,000.00 | n/a |
| To be achieved in project year 3 | (a) COTVET develops and approves Competency-Based Training packages in at least 20 additional priority trades; and (b) COTVET accredits at least 50 additional training providers for the provision of Competency-Based Training | 4,000,000.00 | n/a |
| To be achieved in project year 4 | (a) COTVET develops and approves Competency-Based Training packages in at least 25 additional priority trades; and (b) COTVET accredits at least 50 additional training providers for the provision of Competency-Based Training | 4,000,000.00 | n/a |
| To be achieved in project year 5 | (a) COTVET develops and approves Competency-Based Training packages in at least 25 additional priority trades; and (b) COTVET accredits at least 50 additional training providers for the provision of Competency-Based Training | 4,000,000.00 | n/a |</p>
<table>
<thead>
<tr>
<th>PBC 2</th>
<th>Provision of formalized, standardized, and quality-assured apprenticeship training to individuals</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Type of PBC</strong></td>
<td><strong>Scalability</strong></td>
</tr>
<tr>
<td>Outcome</td>
<td>No</td>
</tr>
<tr>
<td><strong>Period</strong></td>
<td><strong>Value</strong></td>
</tr>
<tr>
<td>Baseline</td>
<td></td>
</tr>
<tr>
<td>To be achieved in project year 1</td>
<td>COTVET provides apprenticeship training, using the Ghana TVET Voucher Project originally financing by KfW 6,000 individuals have received apprenticeship training under the Ghana TVET Voucher Project. Efforts to formalize, standardize, and quality-assure the apprenticeship are being made incrementally.</td>
</tr>
<tr>
<td>To be achieved in project year 2</td>
<td>At least 1,000 individuals receive apprenticeship training, under a formalized, standardized, and quality-assured system managed by COTVET</td>
</tr>
<tr>
<td>To be achieved in project year 3</td>
<td>At least 4,500 additional individuals receive apprenticeship training, under a formalized, standardized, and quality-assured system managed by COTVET</td>
</tr>
<tr>
<td>To be achieved in project year 4</td>
<td>At least 5,500 additional individuals receive apprenticeship training, under a formalized, standardized, and quality-assured system managed by COTVET</td>
</tr>
<tr>
<td>To be achieved in project year 5</td>
<td>At least 6,500 additional individuals receive apprenticeship training, under a formalized, standardized, and quality-assured system managed by COTVET</td>
</tr>
</tbody>
</table>
standardized, and quality-assured system managed by COTVET

| To be achieved in project year 5 | At least 7,500 additional individuals receive apprenticeship training, under a formalized, standardized, and quality-assured system managed by COTVET | 8,000,000.00 | n/a |

**PBC 3**  
Provision of entrepreneurship training and competitive business start-up capital grants for self-employment

<table>
<thead>
<tr>
<th>Type of PBC</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome</td>
<td>No</td>
<td>Text</td>
<td>40,000,000.00</td>
<td>20.00</td>
</tr>
<tr>
<td>Period</td>
<td>Value</td>
<td>Allocated Amount (USD)</td>
<td>Formula</td>
<td></td>
</tr>
<tr>
<td>Baseline</td>
<td>NBSSI provides support for entrepreneurship training through several programs, covering 16,757 individuals in 2018 Allocated amount (US$, millions) Percent of total project financing: 20%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To be achieved in project year 1</td>
<td>(a) At least 10,000 individuals receive entrepreneurship training, under a standardized, quality-assured program provided by NBSSI; and (b) At least 1,000 competitive business start-up capital grants and intensive follow-up support provided by NBSSI to those who have completed entrepreneurship training up to the immediate level</td>
<td>8,000,000.00</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>To be achieved in project year 2</td>
<td>(a) At least 10,000 additional individuals receive entrepreneurship training, under a standardized, quality-assured program provided by NBSSI; and (b) At least 1,000 additional competitive business</td>
<td>8,000,000.00</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>To be achieved in project year 3</td>
<td>start-up capital grants and intensive follow-up support provided by NBSSI to those who have completed entrepreneurship training up to the immediate level</td>
<td>8,000,000.00</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>---------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>---------------</td>
<td>-----</td>
<td></td>
</tr>
<tr>
<td>To be achieved in project year 4</td>
<td>(a) At least 10,000 additional individuals receive entrepreneurship training, under a standardized, quality-assured program provided by NBSSI; and (b) At least 1,000 additional competitive business start-up capital grants and intensive follow-up support provided by NBSSI to those who have completed entrepreneurship training up to the immediate level</td>
<td>8,000,000.00</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>To be achieved in project year 5</td>
<td>(a) At least 10,000 additional individuals receive entrepreneurship training, under a standardized, quality-assured program provided by NBSSI; and (b) At least 1,000 additional competitive business start-up capital grants and intensive follow-up support provided by NBSSI to those who have completed entrepreneurship training up to the immediate level</td>
<td>8,000,000.00</td>
<td>n/a</td>
<td></td>
</tr>
</tbody>
</table>
### Implementation assurance of the Skills Development Fund (SDF)

<table>
<thead>
<tr>
<th>Type of PBC</th>
<th>Scalability</th>
<th>Unit of Measure</th>
<th>Total Allocated Amount (USD)</th>
<th>As % of Total Financing Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome</td>
<td>No</td>
<td>Text</td>
<td>20,000,000.00</td>
<td>10.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Period</th>
<th>Value</th>
<th>Allocated Amount (USD)</th>
<th>Formula</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td>SDF operational outside of government, directly financed by DANIDA SDF managed by a firm contracted by DANIDA Allocated amount (US$, millions) Percentage of total project financing: 10%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To be achieved in project year 1</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers first round of competitive grants, awarding at least 100 grants; and (c) COTVET, through the contracted SDF management firm, augments the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4,000,000.00</td>
<td>n/a</td>
<td></td>
</tr>
</tbody>
</table>

<p>| To be achieved in project year 2 | a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers first round of competitive grants, awarding at least 100 additional grants; and (c) COTVET, through the contracted SDF management firm, augments the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed |
|                                | 4,000,000.00 | n/a                   |</p>
<table>
<thead>
<tr>
<th>Project Year</th>
<th>Description</th>
<th>Funding</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 3</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers second round of competitive grants, awarding at least 150 additional grants; and (c) COTVET, through the contracted SDF management firm, uses the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
<td>4,000,000.00</td>
<td>n/a</td>
</tr>
<tr>
<td>Year 4</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers third round of competitive grants, awarding at least 150 additional grants; and (c) COTVET, through the contracted SDF management firm, uses the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
<td>4,000,000.00</td>
<td>n/a</td>
</tr>
<tr>
<td>Year 5</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers fourth round of competitive grants, awarding at least 200 additional grants; and (c) COTVET, through the contracted SDF management firm, uses the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
<td>4,000,000.00</td>
<td>n/a</td>
</tr>
</tbody>
</table>
grant by the enterprise to one year after the
grant implementation period is completed

<table>
<thead>
<tr>
<th>PBC 5</th>
<th>Provision of competitive grants to enterprises through the Skills Development Fund (SDF)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Type of PBC</strong></td>
<td><strong>Scalability</strong></td>
</tr>
<tr>
<td>Outcome</td>
<td>No</td>
</tr>
<tr>
<td>Period</td>
<td>Value</td>
</tr>
<tr>
<td>Baseline</td>
<td>Between 2011 and end 2018, SDF administered seven rounds of competitive grants and awarded 705 grants to (groups of) private enterprises Allocated amount (US$, millions) Percent of total project financing: 20%</td>
</tr>
<tr>
<td>To be achieved in project year 1</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers first round of competitive grants, awarding at least 100 grants; and (c) COTVET, through the contracted SDF management firm, augments the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
</tr>
<tr>
<td>To be achieved in project year 2</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers first round of competitive grants, awarding at least 100 additional grants; and (c) COTVET, through the contracted SDF management firm, augments the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
</tr>
<tr>
<td>To be achieved in project year 3</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers second round of competitive grants, awarding at least 150 additional grants; and (c) COTVET, through the contracted SDF management firm, uses the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
</tr>
<tr>
<td>To be achieved in project year 4</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers third round of competitive grants, awarding at least 150 additional grants; and (c) COTVET, through the contracted SDF management firm, uses the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
</tr>
<tr>
<td>To be achieved in project year 5</td>
<td>(a) COTVET uses grant management system of SDF II; (b) COTVET, through the contracted SDF management firm, administers fourth round of competitive grants, awarding at least 200 additional grants; and (c) COTVET, through the contracted SDF management firm, uses the grant management system to track enterprise performance indicators from the receipt of the grant by the enterprise to one year after the grant implementation period is completed</td>
</tr>
</tbody>
</table>
Verification Protocol Table: Performance-Based Conditions

<table>
<thead>
<tr>
<th>PBC 1</th>
<th>Implementation assurance for apprenticeship training</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
<td>Implementation assurance for apprenticeship training.</td>
</tr>
<tr>
<td><strong>Data source/ Agency</strong></td>
<td>Project Coordinating Unit and relevant implementing agencies, Government of Ghana.</td>
</tr>
<tr>
<td><strong>Verification Entity</strong></td>
<td>Bank assessment, based on sources of evidence and definitions discussed under Procedure and to be further elaborated in the PIM.</td>
</tr>
<tr>
<td><strong>Definitions</strong></td>
<td>• Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.</td>
</tr>
<tr>
<td></td>
<td>• COTVET refers to the Council for Technical and Vocational Education and Training, under the Ministry of Education. It was established by the Government in 2006, by Act 718.</td>
</tr>
<tr>
<td></td>
<td>• Competency-based training and accreditation are as defined in the NTVETQF, approved by the Government in 2012.</td>
</tr>
<tr>
<td></td>
<td>• Competency-based training refers to industry- and demand-driven outcome-based education and training programs, based on industry standards. These standards are the basis upon which curriculum, teaching and learning materials, and assessment tools and procedures are developed and administered.</td>
</tr>
<tr>
<td></td>
<td>• Accreditation refers to certification of registered public and private training providers for the provision of competency-based training.</td>
</tr>
<tr>
<td></td>
<td>• Priority trade refers to a trade identified and prioritized by industry experts as in demand.</td>
</tr>
<tr>
<td></td>
<td>• Training providers refers to registered public and private training institutions.</td>
</tr>
<tr>
<td><strong>Evidence for verification of achievement</strong></td>
<td>• Budget Execution Reports, with line item for apprenticeship training.</td>
</tr>
<tr>
<td></td>
<td>• Schedule of budgetary releases agreed between the MOF and COTVET.</td>
</tr>
<tr>
<td></td>
<td>• Official documentation from the Board of COTVET listing certified CBT packages and accredited training providers.</td>
</tr>
<tr>
<td></td>
<td>• Sample of (scanned) accreditation certificates.</td>
</tr>
<tr>
<td></td>
<td>• Independent expert review of a sample of certified CBT packages and accredited training providers.</td>
</tr>
<tr>
<td>DLI structure</td>
<td>The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.</td>
</tr>
<tr>
<td>PBC 2</td>
<td>Provision of formalized, standardized, and quality-assured apprenticeship training to individuals</td>
</tr>
<tr>
<td>Description</td>
<td>Provision of formalized, standardized, and quality-assured apprenticeship training to individuals.</td>
</tr>
<tr>
<td>Data source/ Agency</td>
<td>Project Coordinating Unit and relevant implementing agencies, Government of Ghana.</td>
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<td>Bank assessment, based on sources of evidence and definitions discussed under Procedure and to be further elaborated in the PIM.</td>
</tr>
</tbody>
</table>
| Procedure | **Definitions**
- Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.
- Formalized, standardized, and quality-assured apprenticeship training refers to competency-based training as certified by COTVET, consistent with the country’s NTVETQF, and using the existing Ghana TVET Voucher Project’s system to provide payments to training providers and beneficiaries and to track the status, progress, and performance of providers and beneficiaries.

**Evidence for verification of achievement**
- All training providers (including master craft persons) and beneficiaries will be assigned unique identification numbers.
- The unique identification number is to be used in all relevant documentation and data related to the provider or beneficiary.
- Data obtained from the TVET Voucher System, or any other component specific MIS, covering records on payments to training providers and beneficiaries and individual-level information on baseline characteristics, eligibility indicators, and training status, progress, and performance, including dates for entry/enrollment and exit/completion in relation to training.
- Official accounting records of payments to providers and beneficiaries.
- Samples of scanned certificates of enrollment and completion of training by individuals (including by master craft persons).
- From project year 2, survey-based independent verification of training receipt status of a sample drawn from
relevant data obtained from the TVET Voucher System or any other component specific MIS.

**D LI structure**
The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.

<table>
<thead>
<tr>
<th><strong>PBC 3</strong></th>
<th>Provision of entrepreneurship training and competitive business start-up capital grants for self-employment</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
<td>Provision of entrepreneurship training and competitive business start-up capital grants for self-employment.</td>
</tr>
<tr>
<td><strong>Data source/ Agency</strong></td>
<td>Project Coordinating Unit and relevant implementing agencies, Government of Ghana.</td>
</tr>
<tr>
<td><strong>Verification Entity</strong></td>
<td>Bank assessment, based on sources of evidence and definitions discussed under Procedure and to be further elaborated in the PIM.</td>
</tr>
<tr>
<td><strong>Procedure</strong></td>
<td>Definitions</td>
</tr>
<tr>
<td></td>
<td>• NBSSI refers to the National Board of Small Scale Industries, under the Ministry of Trade and Industry, established by the Government of Ghana through Act 434 of 1981.</td>
</tr>
<tr>
<td></td>
<td>• Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.</td>
</tr>
<tr>
<td></td>
<td>• Entrepreneurship training will comprise of three levels: basic, intermediate, and advanced. Entry into intermediate training will require successful completion of basic training.</td>
</tr>
<tr>
<td></td>
<td>• Standardized, quality-assured entrepreneurship training refers to training based on competency-based packages, customized to the baseline needs and abilities of local target populations.</td>
</tr>
<tr>
<td></td>
<td>• Competitive business start-up capital grants refer to funds awarded to individuals (or groups of individuals) through a competitive process, based on transparent, relevant, and objective criteria.</td>
</tr>
<tr>
<td></td>
<td>• Only those individuals who complete the basic and intermediate level entrepreneurship training will be eligible to receive the business start-up capital grant, which will be awarded on a competitive basis upon submission of a business proposal.</td>
</tr>
<tr>
<td></td>
<td>• Intensive follow-up support refers to coaching and mentorship support and regular monitoring (for a period of one year) to help the grantee implement the grant in accordance with the business proposal, implementation plan/roadmap, and grant use regulation.</td>
</tr>
<tr>
<td></td>
<td>• Grant size can vary based on a transparent, standardized formula, with absolute caps.</td>
</tr>
</tbody>
</table>

Evidence for verification of achievement
- All individuals that enter entrepreneurship training are assigned unique identification numbers.
- The unique identification number is to be used in all relevant documentation and data related to the trainee/grantee.
- Official accounting records of grant transfers to the bank accounts of businesses established by grantees and/or payments to suppliers of tools, equipment, and technologies.
- Samples of scanned certificates of enrollment and completion of training and certificates of grant awards.
- Data obtained from subcomponent specific MIS administered by NBSSI, with individual-level information on baseline socioeconomic characteristics, eligibility indicators, and status, progress and performance indicators, including date stamps for entry/enrollment and exit/completion in relation to training or grant implementation.
- From project year 2, survey-based independent verification of training and grant receipt status of a sample drawn from relevant data obtained from the subcomponent specific MIS.

**DLI structure**
- The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.

<table>
<thead>
<tr>
<th>PBC 4</th>
<th>Implementation assurance of the Skills Development Fund (SDF)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
<td>Implementation assurance of the Skills Development Fund (SDF).</td>
</tr>
<tr>
<td><strong>Data source/ Agency</strong></td>
<td>Project Coordinating Unit and relevant implementing agencies, Government of Ghana.</td>
</tr>
<tr>
<td><strong>Verification Entity</strong></td>
<td>Bank assessment, based on sources of evidence and definitions discussed under Procedure and to be further elaborated in the PIM.</td>
</tr>
</tbody>
</table>

**Procedure**
- Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.
- SDF, or the “Skills Development Fund”, means the institutional and implementation arrangements (including an online grant management system) originally established in 2011 within COTVET, and developed and strengthened through two phases, for selecting, awarding, and monitoring competitive grants to private enterprises or associations and supporting the implementation of the grant.
- Operational in year 1 means SDF arrangements and staffing satisfies readiness requirements for implementation, and operational in year 2 onward means SDF is active in awarding, supporting, and monitoring grants.
• Firm to manage SDF will be private and independent of Government.

Evidence for verification of achievement
• Budget Execution Reports, with line item for SDF expenditures.
• Official documentation/written communication with schedule of budgetary releases agreed between the MOF and COTVET.
• Minutes of meetings of the SDF Oversight Committee.
• Contract of management firm.
• Project implementation progress reports with information on SDF status, progress, and performance.
• Checks of the Grant Management System data.
• Grant award certificates.

DLI structure
The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.

<table>
<thead>
<tr>
<th>PBC 5</th>
<th>Provision of competitive grants to enterprises through the Skills Development Fund (SDF)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
<td>Provision of competitive grants to enterprises through the Skills Development Fund (SDF).</td>
</tr>
<tr>
<td><strong>Data source/ Agency</strong></td>
<td>Project Coordinating Unit and relevant implementing agencies, Government of Ghana.</td>
</tr>
<tr>
<td><strong>Verification Entity</strong></td>
<td>Bank assessment, based on sources of evidence and definitions discussed under Procedure and to be further elaborated in the PIM.</td>
</tr>
</tbody>
</table>

**Definitions**
- Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.
- SDF II refers to the second phase of SDF implemented between 2016 and 2020, financed by the Government and DANIDA, and managed by a contracted private management firm.
- Competitive grants mean competitively selected and awarded cash grants based on relevant, objective, standardized criteria and procedures, with grants awarded to enterprises (or groups of enterprises) for the purchase of training or technological inputs.
- Grant management system refers to the system operational and strengthened under SDF II which is used for all aspects of grant management from application onward, and captures information from reporting by, and
monitoring of grantees.

- SDF management firm is as defined in the DLI#4 string.

Evidence for the verification of achievement

- All applicants to grants will be assigned unique identification numbers.
- The unique identification number is to be used in all relevant documentation and data related to the applicant.
- Data and documentation obtained from the grant management system.
- Checks of the Grant Management System architecture and contents.
- Records of public announcements of calls for proposals.
- Certificates of grant awards.
- Project implementation progress reports with information on SDF operations and SDF grant/grantee status, progress, and performance.
- From project year 3, survey-based independent verification of grant receipt/implementation status of a sample of grantees drawn based on relevant data obtained the grant management system.

DLI structure

- The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.
CHAPTER 12: INSTITUTIONAL ARRANGEMENTS

12.1 The organisational structure of the GJSP

The project is multi-sectoral, with multiple ministries and agencies partnering on project activities. This necessitates an encompassing arrangement, with a nodal authority. The overall institutional arrangements for coordinating, overseeing, and managing project activities comprise (a) a Project Inter-Ministerial Oversight Committee, (b) a Project Steering Committee, (c) a Project Coordinating Unit, (d) a Project Technical Committee, and (e) implementing and partnering agencies. The Government sees this hierarchical arrangement as efficient and pragmatic, and as providing for due diligence.

12.1.1 Project Inter-Ministerial Oversight Committee

The Government shall establish, within three (3) months after the Effective Date or any later date agreed with the Association, and thereafter maintain at all times during Project implementation, a Project Inter-Ministerial Oversight Committee ("PIMOC"), with a composition, mandate and resources satisfactory to the Association.

The primary function of this committee will be to provide overall strategic advice for the project and to ensure inter-ministry and inter-agency cooperation. Members of the committee will comprise the Ministers of Education; Employment and Labour Relations; Environment, Science, Technology, and Innovation; Finance; and Trade and Industry.

The PIMOC shall meet at least once a year, and shall be responsible for, inter alia: (i) providing overall strategic guidance for the Project; and (ii) ensuring inter-ministry and inter-agency cooperation on the Project, all in accordance with the provisions of the Financing Agreement and of this PIM.

12.1.2 Project Steering Committee

The Government shall establish, within three (3) months after the Effective Date, or any later date as may be agreed with the Association, and thereafter maintain at all times during Project implementation, a Project Steering Committee ("PSC") for the Project, with a composition, mandate and resources satisfactory to the Association. The PSC shall meet at least four times a year.

The primary function of the committee will be to (a) approve annual work plans; (b) review project status, progress, and performance; (c) help further inter-ministry and inter-agency cooperation; and (d) resolve any outstanding project implementation issues. Members of the committee will comprise the Chief Directors or Directors or their representatives from COTVET, MELR, MESTI, MOF, and NBSSI.

12.1.3 Project Technical Committee

The Government shall establish, within three (3) months after the Effective Date or any later date as may be agreed with the Association, and thereafter maintain throughout Project implementation, a Technical Committee (TC) for the Project, with a composition, mandate and resources satisfactory to the Association. The TC shall meet at least once every month, and more frequently as and when project exigencies demand.

This committee will be composed of officials from all coordinating, implementing, and partnering agencies (COTVET, MELR, MESTI, MOF, and NBSSI), with the Project Coordinator as the chair of the committee. The main function of this committee will be to supervise and advise on technical aspects of project implementation in accordance with the
Financing Agreement and this PIM.

12.1.4 Project Coordination Unit

The Government shall establish and thereafter maintain throughout Project implementation a Project Coordination Unit ("PCU") within the MoF with a composition, mandate and resources satisfactory to the Association.

The Government shall recruit, and thereafter maintain throughout Project implementation:

(i) a Project coordinator;
(ii) a procurement specialist;
(iii) a financial management specialist;
(iv) an environmental and social safeguard specialist or focal point; and
(v) a monitoring and evaluation specialist,

All of the above to be recruited through either government appointment or a competitive basis and with qualifications, experience and terms of reference (TOR) satisfactory to the Association. The TORs of these positions is included in Annex 19.

The PCU shall be responsible for: (i) coordinating Project activities; (ii) preparing the consolidated Project's Annual Work Plans and Budgets and submitting them to the PSC and the Association; (iii) preparing consolidated Project monitoring and evaluation reports and submitting them to the PSC and the Association; (iv) monitoring progress towards the achievement of the DLIs and submitting verification data and documentation to the PSC and the Association in accordance with the DLI Verification Protocol; and (v) arranging required audits for the Project, all in accordance with the Financing Agreement and this PIM.

12.1.5 Project implementing and partnering agencies

The main implementing agencies are COTVET, NBSSI, and MELR. The main partnering agency is MESTI. Implementing agencies will be primarily responsible for the implementation of project activities that fall under their respective purviews, comprising all elements including financial management, procurement, safeguards, monitoring and evaluation, capacity development and technical assistance, and research and analysis. The Government shall ensure that the Project Implementing and Partnering Agencies have the necessary resources to carry out their respective Parts of the Project.

The Government shall cause each Project Implementing and Partnering Agency to, not later than three (3) months from the Effective Date or any later date as may be agreed with the Association, recruit, and thereafter maintain throughout the Project Implementation: (i) a procurement specialist; (ii) a contract management specialist; (iii) a financial management specialist; (iv) an environmental and social safeguard specialist or a focal point; (v) a monitoring and evaluation specialist, and (vi) a grant management specialist, all to be recruited through either government appointment or a competitive basis and with qualifications, experience and terms of reference satisfactory to the Association. The Terms of Reference for these positions is included in Annex 20.

12.2 Institutional Risk Assessment

The specific risks that could undermine project progress and performance emanate from four sources, as suggested by past analyses of the World Bank’s project portfolio for Ghana and for the region generally. First, coordinating, implementing, and partnering ministries and agencies may experience shortcomings in capacity and in governance, accountability, and transparency;
these shortcomings can affect all facets of implementation, including monitoring and evaluation, fiduciary management, and environmental and social safeguards. Second, risks to project implementation emanate from potential frictions or failures in achieving sustained, productive cooperation and coordination between, and seamless implementation across activities managed by, multiple ministries and agencies. Third, while fiduciary arrangements are considered adequate, risks to financial management and procurement emanate from the lack of familiarity with World Bank fiduciary requirements and frictions or failures in appropriate fiduciary staffing and efficient procurement planning and processing across multiple ministries and agencies. Fourth, the Government has traditionally under prioritized information sharing, communication, and engagement with stakeholders in the skills and jobs space and with targeted beneficiary groups.
## Component 1: Provision of apprenticeship training for jobs ($60 million)

<table>
<thead>
<tr>
<th>Description</th>
<th>Baseline</th>
<th>Target values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementation assurance for apprenticeship training</td>
<td>COTVET has developed and approved Competency-Based Training packages in 18 trades. There are an estimated 200 trades in Ghana. To date, COTVET has accredited 70 training providers, all of which provide Competency Based Training is specific trades.</td>
<td><strong>DLI 1.1</strong>: (a) COTVET develops and approves Competency-Based Training packages in at least 10 additional priority trades; and (b) COTVET accredits at least 50 additional training providers for the provision of Competency-Based Training</td>
</tr>
<tr>
<td>Percent of total financing: 10%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Definitions
- Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.
- COTVET refers to the Council for Technical and Vocational Education and Training, under the Ministry of Education. It was established by the Government in 2006, by Act 718.
- Competency-based training and accreditation are as defined in the NTVETQF, approved by the Government in 2012.
- Competency-based training refers to industry- and demand-driven outcome-based education and training programs, based on industry standards. These standards are the basis upon which curriculum, teaching and learning materials, and assessment tools and procedures are developed and administered.
- Accreditation refers to certification of registered public and private training providers for the provision of competency-based training.
- Priority trade refers to a trade identified and prioritized by industry experts as in demand.
- Training providers refers to registered public and private training institutions.
Evidence for verification of achievement

- Budget Execution Reports, with line item for apprenticeship training.
- Schedule of budgetary releases agreed between the MOF and COTVET.
- Official documentation from the Board of COTVET listing certified CBT packages and accredited training providers.
- Sample of (scanned) accreditation certificates.
- Independent expert review of a sample of certified CBT packages and accredited training providers.

DLI structure

- The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.

<table>
<thead>
<tr>
<th>Description</th>
<th>Baseline</th>
<th>Target values</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>To be achieved in project year 1</strong></td>
<td><strong>To be achieved in project year 2</strong></td>
<td><strong>To be achieved in project year 3</strong></td>
</tr>
<tr>
<td>Provision of formalized, standardized, and quality-assured apprenticeship training to individuals</td>
<td>COTVET provides apprenticeship training, using the KfW funded Ghana TVET Voucher Project.</td>
<td>DLI 2.1: At least 1,000 individuals receive apprenticeship training, under a formalized, standardized, and quality-assured system managed by COTVET</td>
</tr>
<tr>
<td></td>
<td>6,000 individuals have received apprenticeship training under the Ghana TVET Voucher Project.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Efforts to formalize, standardize, and quality-assure the apprenticeship are being made incrementally</td>
<td></td>
</tr>
<tr>
<td>Allocated amount (US$, millions)</td>
<td>US$8</td>
<td>US$8</td>
</tr>
<tr>
<td>Percent of total project financing: 20%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Definitions

- Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.
- Formalized, standardized, and quality-assured apprenticeship training refers to competency-based training as certified by COTVET, consistent with the country’s NTVETQF, and using the existing Ghana TVET Voucher Project’s system to provide payments to training providers and beneficiaries and to track the status, progress, and performance of providers and beneficiaries.

Evidence for verification of achievement

- All training providers (including master craft persons) and beneficiaries will be assigned unique identification numbers.
- The unique identification number is to be used in all relevant documentation and data related to the provider or beneficiary.
- Data obtained from the TVET Voucher System, or any other component specific MIS, covering records on payments to training providers and beneficiaries and individual-level information on baseline characteristics, eligibility indicators, and training status, progress, and performance, including dates for entry/enrollment and exit/completion in relation to training.
- Official accounting records of payments to providers and beneficiaries.
- Samples of scanned certificates of enrollment and completion of training by individuals (including by master craft persons).
- From project year 2, survey-based independent verification of training receipt status of a sample drawn from relevant data obtained from the TVET Voucher System or any other component specific MIS.

DLI structure

- The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.
## Annexe 1B: Disbursement Linked Indicators for Subcomponent 2.1: Provision of Entrepreneurship Training and Competitive Business Start-Up Grants

<table>
<thead>
<tr>
<th>Description</th>
<th>Baseline</th>
<th>Target values</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Provision of entrepreneurship training and competitive business start-up grants for self-employment</strong></td>
<td>NBSSI provides support for entrepreneurship training through several programs, covering 16,757 individuals in 2018</td>
<td><strong>DLI 3.1:</strong> (a) At least 10,000 individuals receive entrepreneurship training, under a standardized, quality-assured program provided by NBSSI; and (b) At least 1,000 competitive business start-up capital grants and intensive follow-up support provided by NBSSI to those who have completed entrepreneurship training up to the immediate level</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Allocated amount (US$, millions)</th>
<th><strong>US$8</strong></th>
<th><strong>US$8</strong></th>
<th><strong>US$8</strong></th>
<th><strong>US$8</strong></th>
<th><strong>US$8</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent of total project financing: 20%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Definitions**
- NBSSI refers to the National Board of Small Scale Industries, under the Ministry of Trade and Industry, established by the Government of Ghana through Act 434 of 1981.
- Project year refers to the fiscal year of the Government which begins on January 1 and ends on December 31. Year 1 refers to the Government’s fiscal year 2021.
Entrepreneurship training will comprise three levels: basic, intermediate, and advanced. Entry into intermediate training will require successful completion of basic training.

Standardized, quality-assured entrepreneurship training refers to training based on competency-based packages, customized to the baseline needs and abilities of local target populations.

Competitive business start-up capital grants refer to funds awarded to individuals (or groups of individuals) through a competitive process, based on transparent, relevant, and objective criteria.

Only those individuals who complete the basic and intermediate level entrepreneurship training will be eligible to receive the business start-up capital grant, which will be awarded on a competitive basis upon submission of a business proposal.

Intensive follow-up support refers to coaching and mentorship support and regular monitoring (for a period of one year) to help the grantee implement the grant in accordance with the business proposal, implementation plan/roadmap, and grant use regulation.

Grant size can vary based on a transparent, standardized formula, with absolute caps.

Evidence for verification of achievement

- All individuals that enter entrepreneurship training are assigned unique identification numbers.
- The unique identification number is to be used in all relevant documentation and data related to the trainee/grantee.
- Official accounting records of grant transfers to the bank accounts of businesses established by grantees and/or payments to suppliers of tools, equipment, and technologies.
- Samples of scanned certificates of enrollment and completion of training and certificates of grant awards.
- Data obtained from subcomponent specific MIS administered by NBSSI, with individual-level information on baseline socioeconomic characteristics, eligibility indicators, and status, progress and performance indicators, including date stamps for entry/enrollment and exit/completion in relation to training or grant implementation.
- From project year 2, survey-based independent verification of training and grant receipt status of a sample drawn from relevant data obtained from the subcomponent specific MIS.

DLI structure

- The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The PIM will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.
### Annex 1C: Disbursement Linked Indicators (DLI) for Component 2.2 – Provision of Competitive Grants to Private Enterprises for Expanded Employment

#### Subcomponent 2.2: Provision of Competitive Grants to Private Enterprises for Expanded Employment

<table>
<thead>
<tr>
<th>Description</th>
<th>Baseline</th>
<th>To be achieved in project year 1</th>
<th>To be achieved in project year 2</th>
<th>To be achieved in project year 3</th>
<th>To be achieved in project year 4</th>
<th>To be achieved in project year 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementation assurance of the Skills Development Fund (SDF)</td>
<td>SDF operational outside of government, directly financed by DANIDA</td>
<td>DLI 4.1: (a) SDF is operational, based on a partnership between government, the private sector, and the World Bank; and (b) COTVET competitively procures firm to manage SDF</td>
<td>DLI 4.2: (a) SDF is operational, based on a partnership between government, the private sector, and the World Bank; and (b) SDF is managed and operated by contracted management firm</td>
<td>DLI 4.3: (a) SDF is operational, based on a partnership between government, the private sector, and the World Bank; and (b) SDF is managed and operated by contracted management firm</td>
<td>DLI 4.4: (a) SDF is operational, based on a partnership between government, the private sector, and the World Bank; and (b) SDF is managed and operated by contracted management firm</td>
<td>DLI 4.5: (a) SDF is operational, based on a partnership between government, the private sector, and the World Bank; and (b) SDF is managed and operated by contracted management firm</td>
</tr>
</tbody>
</table>

**Definitions**
- Project year refers to the fiscal year of the government which begins on January 1 and ends on December 31. Year 1 refers to the government’s fiscal year 2021.
- SDF, or the “Skills Development Fund”, means the institutional and implementation arrangements (including an online grant management...
system) originally established in 2011 within COTVET, and developed and strengthened through two phases, for selecting, awarding, and monitoring competitive grants to private enterprises or associations and supporting the implementation of the grant.

- Operational in year 1 means SDF arrangements and staffing satisfies readiness requirements for implementation, and operational in year 2 onward means SDF is active in awarding, supporting, and monitoring grants.
- Firm to manage SDF will be private and independent of government.

**Evidence for verification of achievement**
- Budget Execution Reports, with line item for SDF expenditures.
- Official documentation/written communication with schedule of budgetary releases agreed between the MOF and COTVET.
- Minutes of meetings of the SDF Oversight Committee.
- Contract of management firm.
- Project implementation progress reports with information on SDF status, progress, and performance.
- Checks of the Grant Management System data.
- Grant award certificates.

**DLI structure**
- The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The Project Implementation Manual will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.

<table>
<thead>
<tr>
<th>Title</th>
<th>Baseline</th>
<th>Target values</th>
</tr>
</thead>
</table>
| **Provision of competitive grants to enterprises through the Skills Development Fund** | Between 2011 and end 2018, the Skills Development Fund administered seven rounds of competitive grants and awarded 705 | **To be achieved in project year 1**  
DLI 5.1: (a) COTVET uses grant management system of SDF II; and  
(b) COTVET, through the contracted SDF management firm,  

**To be achieved in project year 2**  
DLI 5.2: (a) COTVET uses grant management system of SDF II; and  
(b) COTVET, through the contracted SDF management firm,  

**To be achieved in project year 3**  
DLI 5.3: (a) COTVET uses grant management system of SDF II; and  
(b) COTVET, through the contracted SDF management firm,  

**To be achieved in project year 4**  
DLI 5.4: (a) COTVET uses grant management system of SDF II; and  
(b) COTVET, through the contracted SDF management firm,  

**To be achieved in project year 5**  
DLI 5.5: (a) COTVET uses grant management system of SDF II; and  
(b) COTVET, through the contracted SDF management firm,  

...
| Allocated amount (US$, millions) | US$8 | US$8 | US$8 | US$8 | US$8 |
| Percent of total project financing: 20% | | | | | |

**Definitions**
- Project year refers to the fiscal year of the government which begins on January 1 and ends on December 31. Year 1 refers to the government’s fiscal year 2021.
• SDF II refers to the second phase of the Skills Development Fund implemented between 2016 and 2020, funded by government and DANIDA, and managed by a contracted private management firm.
• Competitive grants mean competitively selected and awarded cash grants based on relevant, objective, standardized criteria and procedures, with grants awarded to enterprises (or groups of enterprises) for the purchase of training or technological inputs.
• Grant management system refers to the system operational and strengthened under SDF II which is used for all aspects of grant management from application onward, and captures information from reporting by, and monitoring of, grantees.
• SDF management firm is as defined in the DLI#4 string.

Evidence for the verification of achievement
• All applicants to grants will be assigned unique identification numbers.
• The unique identification number is to be used in all relevant documentation and data related to the applicant.
• Data and documentation obtained from the grant management system.
• Checks of the Grant Management System architecture and contents.
• Records of public announcements of calls for proposals.
• Certificates of grant awards.
• Project implementation progress reports with information on SDF operations and SDF grant/grantee status, progress, and performance.
• From project year 3, survey-based independent verification of grant receipt/implementation status of a sample of grantees drawn based on relevant data obtained the grant management system.

DLI structure
• The full DLI for each year must be satisfactorily achieved for disbursement (notwithstanding any advance provided). The Project Implementation Manual will further elaborate on the design of the DLIs and associated disbursements, and the arrangements and sources of data and documentation for verification of achievement of DLIs.
Annex 2: SAMPLE APPLICATION FORM FOR TRAINING PROVIDER

<table>
<thead>
<tr>
<th>No.</th>
<th>TRAINING PROVIDER's PARTICULARS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>NAME OF TRAINING PROVIDER (TP)</td>
</tr>
<tr>
<td>2</td>
<td>REGION</td>
</tr>
<tr>
<td>3</td>
<td>DISTRICT</td>
</tr>
<tr>
<td>4</td>
<td>TOWN</td>
</tr>
<tr>
<td>5</td>
<td>LOCATIONAL ADDRESS (ST. NAME / HOUSE No.)</td>
</tr>
<tr>
<td>6</td>
<td>LANDMARK ON LOCATIONAL ADDRESS</td>
</tr>
<tr>
<td>7</td>
<td>POSTAL ADDRESS</td>
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<tr>
<td>8</td>
<td>PHONE CONTACT</td>
</tr>
<tr>
<td>9</td>
<td>Email ADDRESS</td>
</tr>
<tr>
<td>10</td>
<td>NO. of CBT FACILITATORS</td>
</tr>
<tr>
<td>11</td>
<td>LEVEL OF FACILITATION (NP1 and/or NP2)</td>
</tr>
<tr>
<td>12</td>
<td>AVAILABILITY OF DISABILITY FACILITATORS</td>
</tr>
<tr>
<td>13</td>
<td>TYPE OF DISABILITY FACILITATORS</td>
</tr>
<tr>
<td>14</td>
<td>DISABILITY FRIENDLY FACILITIES</td>
</tr>
<tr>
<td>15</td>
<td>No. of TRAINING CENTRE FACILITIES (classrooms and workshops)</td>
</tr>
<tr>
<td>16</td>
<td>No. of BOARDING or DAY TRAINING CENTRE FACILITIES</td>
</tr>
<tr>
<td>17</td>
<td>STATUS OF COTVET REGISTRATION (Registered or Not Registered)</td>
</tr>
<tr>
<td>18</td>
<td>DATE OF REGISTRATION</td>
</tr>
<tr>
<td>19</td>
<td>DATE OF REGISTRATION EXPIRATION</td>
</tr>
<tr>
<td>20</td>
<td>COTVET REGISTRATION CERTIFICATE NUMBER</td>
</tr>
<tr>
<td>21</td>
<td>COPY OF REGISTRATION CERTIFICATE (attached a scanned copy)</td>
</tr>
<tr>
<td>22</td>
<td>STATUS OF COTVET ACCREDITATION (Full or Provisional Accreditation)</td>
</tr>
<tr>
<td>23</td>
<td>TRADE AREA ACCREDITED</td>
</tr>
<tr>
<td></td>
<td>Description</td>
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<tr>
<td>---</td>
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</tr>
<tr>
<td>24</td>
<td>IF PROVISIONAL ACCREDITATION - Provide Date to fulfill Accreditation Requirements</td>
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<td>25</td>
<td>NTVETQF QUALIFICATION LEVEL ACCREDITED (NP1 and/or NP2)</td>
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<td>26</td>
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<td>27</td>
<td>DATE OF ACCREDITATION EXPIRATION</td>
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<td>COTVET ACCREDITATION CERTIFICATE NUMBER</td>
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<tr>
<td>29</td>
<td>COPY OF ACCREDITATION CERTIFICATE (attached a scanned copy)</td>
</tr>
<tr>
<td>30</td>
<td>NAME OF DIRECTOR / CONTACT PERSONS</td>
</tr>
<tr>
<td>31</td>
<td>PHONE NUMBER</td>
</tr>
<tr>
<td>32</td>
<td>DATE OF BIRTH</td>
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<tr>
<td>33</td>
<td>GENDER</td>
</tr>
<tr>
<td>34</td>
<td>Email</td>
</tr>
<tr>
<td>35</td>
<td>ID CARD TYPE AND ID NUMBER</td>
</tr>
<tr>
<td>36</td>
<td>NAME OF CBT TEAM LEAD</td>
</tr>
<tr>
<td>37</td>
<td>PHONE NUMBER</td>
</tr>
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<td>38</td>
<td>DATE OF BIRTH</td>
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<td>GENDER</td>
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<tr>
<td>40</td>
<td>Email</td>
</tr>
<tr>
<td>41</td>
<td>ID CARD TYPE AND ID NUMBER</td>
</tr>
<tr>
<td>42</td>
<td>NAME OF ALTERNATIVE CONTACT PERSON</td>
</tr>
<tr>
<td>43</td>
<td>PHONE NUMBER</td>
</tr>
<tr>
<td>44</td>
<td>DATE OF BIRTH</td>
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<td>45</td>
<td>GENDER</td>
</tr>
<tr>
<td>46</td>
<td>Email</td>
</tr>
<tr>
<td>47</td>
<td>ID CARD TYPE AND ID NUMBER</td>
</tr>
<tr>
<td>48</td>
<td>TYPE OF INSTITUTION (Public, Private, FBO, NGO, Indicate Others)</td>
</tr>
<tr>
<td>49</td>
<td>DATE OF ESTABLISHMENT OF THE TRAINING INSTITUTION (SCHOOL)</td>
</tr>
<tr>
<td>50</td>
<td>AWARDING BODY AFFILIATED TO TP</td>
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<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>51</td>
<td>NAMES OF OWNERS OF THE TRAINING INSTITUTION (SCHOOL)</td>
</tr>
<tr>
<td>52</td>
<td><strong>TP's GTVP DEDICATED BANK ACCOUNT HOLDER'S NAME</strong></td>
</tr>
<tr>
<td>53</td>
<td>BANK NAME</td>
</tr>
<tr>
<td>54</td>
<td>BRANCH</td>
</tr>
<tr>
<td>55</td>
<td>BANK SWIFT CODE</td>
</tr>
<tr>
<td>56</td>
<td>BANK ADDRESS</td>
</tr>
<tr>
<td>57</td>
<td>ACCOUNT NUMBER</td>
</tr>
</tbody>
</table>
Annex 3: CBT COMPLIANCE CHECK FOR TRAINING PROVIDERS FORM

Compliance Check Report

This report is written by the accredited GTVP officer or another person designated by the GTVP at the stage of evaluation of the GTVP application form after a visit to the applicant. The purpose of the report is to communicate to the GTVP Management Team of the overall accuracy and integrity of the information presented on the application form. It is an opportunity to note any potential risks associated with a decision based on any unsubstantiated or missing information.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>[Y]/[N]</th>
<th>[N/A]</th>
<th>Comment</th>
</tr>
</thead>
</table>

1. CONTACT DETAILS

| GTVP FILE NUMBER | |
| Name of Organization/Institution | |
| Ownership (Public/Private) | |
| Contact Person | |
| Location Address | |
| Telephone Number | |
| E-mail Address | |
| Website | |

Please tick ‘Y’ where the information given in the application form matches with what is established during due diligence; ‘N’ where it does not and ‘N/A’ where it is not applicable. Provide a comment as Needed

2. CONFIRMATION OF APPLICANT’S OPERATIONS

2.1 Business registration status

2.2 COTVET accreditation status

2.3 Applicant has own operating space

2.4 Applicant has necessary operating license(s)

2.5 CBT team availability
### 2.6 Are facilitators registered with COTVET?

### 2.7 Has the institution ever had a previous experience in TVET or CBT programme delivery?

### 2.8 Is the institution approved by or affiliated with any other nationally approved awarding body/bodies?

### 3. Applicant's Capacity

<table>
<thead>
<tr>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1 Training facilities</td>
</tr>
<tr>
<td>3.2 Number of facilitators/teachers with responsibilities for the training or qualification delivery.</td>
</tr>
<tr>
<td>3.3 Machinery &amp; equipment available for the Course</td>
</tr>
<tr>
<td>3.4 Program details and training documents</td>
</tr>
<tr>
<td>3.5 Curriculum and Program duration details</td>
</tr>
<tr>
<td>3.6 Training delivery documents</td>
</tr>
</tbody>
</table>

*Please tick ‘Y’ where the information given in the application form matches with what is established during Due Diligence; ‘N’ where it does not and ‘N/A’ where it is not applicable. Provide a comment as needed.*

### 4. Reason(s) for applying

<table>
<thead>
<tr>
<th>[Y]/[N]</th>
<th>/[N/A]</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.2 Cost of the training</td>
<td></td>
</tr>
<tr>
<td>4.3 Certification processes</td>
<td></td>
</tr>
<tr>
<td>4.4 Details of Quality Management System</td>
<td></td>
</tr>
<tr>
<td>4.5 Expected results</td>
<td></td>
</tr>
</tbody>
</table>

### 5. SUMMARY OF FINDINGS

Please summarise, in bullets, your findings about the applicant’s suitability for training

### 6. OTHER ISSUES

What other issues may require more in-depth investigation prior to recommendation for training voucher?

### 7. GPS Location

Please indicate the GPS location of the applicant

| Latitude = | Longitude = |
By signing this Compliance Check, I hereby declare that I personally interviewed the owner of the business and at the physical address provided on the Voucher application form. I further declare that the information I have provided in the form reflects, to the best of my knowledge, what was provided to me by the applicant and that no information has been included which was not obtained from the applicant during the said interview.

<table>
<thead>
<tr>
<th>PLACE:</th>
<th>DATE:</th>
</tr>
</thead>
</table>

Signature:

Approved by: ........................................ Date: ..............................................

Signature: ........................................
Annex 4: ENVIRONMENTAL AND SOCIAL SCREENING FORM AND CHECKLIST
Annex 5: TOR FOR VOUCHER MANAGEMENT SYSTEM TEAM

A. PROJECT COODINATOR

RESPONSIBILITIES

- Responsible for the overall technical management and implementation of the project
- Provide the conceptual documents, financial plan, procurement plan, tender documents, bid evaluation reports, project progress reports, financial reports, etc. according to agreed timelines and quality
- Overlook the financial management of the project in order to ensure that project funds will be disbursed in line with the project purpose.
- Maintain communication at department level with COTVET and the Team
- Secure project operations in accordance with the approved GTVP Design Report
- Secure project outcome and fulfilment of performance indicators
- Control the overall budget in accordance with the approved Financial Plan
- Maintain communication at management level with COTVET (ED and relevant departments),

TASK

- Ensure information flow between COTVET and the Voucher Management Unit
- Call for weekly Voucher Management Unit meetings, secure minutes of meeting, Participate in COTVET monthly management meetings
- Review and approve monthly activity work plans
- Review reports from Financial Specialist and other Officers
- Instruct the Voucher Officers (Regional Coordinators) to perform their tasks in accordance with the approved GTVP Design Report and Voucher Project Manual
- Approve confirmation of payments to Service Providers in line with signed contracts
- Maintain regular information flow on procurement
- Maintain regular information flow on strategic issues
- Liaise and exchange information with other COTVET strategic partners
- Supervise the proper operation of the IT-based Voucher Management System (VMS)
- Ensure regular M&E
- Ensure timely reporting (Monthly and Quarterly Progress Reports)

B. PROCUREMENT SPECIALIST

RESPONSIBILITIES

- Ensure the management and implementation of procurement processes
- Ensure the management and implementation of contracts with suppliers and service providers including TPs and TAs for GTVP according to KfW guidelines
- Take additional RC responsibilities in respect to voucher operations
- Take additional responsibility in confirmation of training in the IT-based VMS in line with signed contracts
- Ensure that key stakeholders contracts are reviewed and updated
- Guide the procurement processes
TASK

- Draft of tender documents, supplier and service provider contracts, bid eval. reports according to KfW Guidelines and in line with GTVP Internal Operational Procedures
- Selection of suitable procurement process and according argumentation towards KfW
- Investigation on suitable suppliers and service providers, provision of short lists and according argumentation towards KfW
- Organising pre-bid meeting and bid meetings
- Evaluation of bids and preparation of bid evaluation reports in accordance with KfW requirements
- Maintain regular information flow on strategic issues related to contract and procurement with the GTVP Project Coordinator and FC Consultant Team
- Review and update of TPs, TAs and ABs contracts in coordination with RCs
- Support the external audits
- Updating of procurement plan for QPRs
- Support the signing process of TPs/TAs/ABs contracts
- Besides the core task of contract/procurement related, the PCS shall perform tasks related to voucher operations with focus on Greater Accra and support task related to VMS workflow in areas verification of training and payment sign off in the IT-based VMS in line with signed contracts.

PERFORMANCE CRITERIA

- Procurement Processes are successful,
- Contracting is successful,
- Auditor does not claim any irregularities in terms of procurement and/or contract documents or procedures
- Successful execution of assigned voucher operations with focus on Greater Accra.
- Successful execution of assigned confirmation of training and payment processing in line with signed contracts

C. FINANCIAL SPECIALIST

RESPONSIBILITIES

Ensure accurate

- financial reporting in line with the approved GTVP Financial Plan; allowing efficient overall budget control as well as status reports on short notice
- Manage the financial operations of the project
- Ensure proper documentation of financial transactions
- Establish and maintain an accurate filing system, allowing efficient external audit

TASK

- Operate all financial procedures in accordance with the PIM and the Disbursement arrangement
- Operate the GTVP’s financial accounting system
- Ensure that all payments conform with the approved budget lines and contracts
- Secure regular updates of the project budget and sub budgets
• Prepare monthly and quarterly budget forecasts
• Prepare financial reports in accordance with the approved budget lines as per GTVP Financial Plan
• Update the GTVP Financial Plan incl. disbursement schedule on monthly basis
• Execute the disbursement procedures in line with GTVP Internal Operational Procedure; Part 1: Disbursement

**PERFORMANCE CRITERIA**
• Payments are in line with the approved budget lines and contracts
• Monthly and quarterly budget (forecasts), Financial Plans, Statements of Expenditures, and Withdrawal Applications are timely and correctly prepared
• Yearly audit is well prepared
• Auditor does not claim any irregularities in terms of disbursements and management of accounts
• original procurement and payment documents are well filed

**D. REGIONAL COORDINATORS**

**RESPONSIBILITIES**
• Ensure dissemination of GTVP-relevant information to the target group
• Manage the GTVP standard operational procedures in accordance with the Voucher Project Manual
• Operate the IT-based Voucher Management System
• Support GTVP stakeholders to comply with GTVP requirements
• Manage efficient information flow and regular interaction with relevant COTVET department and GTVP stakeholders throughout the entire project
• Supervise the GTVP stakeholders’ performance against the signed contracts
• Regular M&E of project outcome and performance
• Report to Project Coordinator on RCs activities and project performance on bi-weekly basis.

**TASK**
• Prepare weekly and monthly activity plans incl. required budgets for review by FS and approval by the GTVP Project Coordinator
• Undertake marketing and awareness- rising activities
• Communicate with TAs and TPs in the field to support generation of sufficient demand and training capacities
• Encourage potential GTVP stakeholders to register with COTVET and to apply for accreditation
• Train and assist TAs, TPs and ABs in application of GTVP procedures utilisation of the VMS
• Maintain all administrative procedures as per Voucher Project Manual by operating the IT-based VMS on daily basis
• Evaluate the stakeholders’ readiness to participate in GTVP (compliance check)
• Ensure COTVET’s approval of TAs, TPs, ABs to be contracted based on compliance check and training on the VMS
• Negotiate and prepare the service contracts for TAs, TPs, ABs
• Coordinate the TPs Training Delivery
• Plan with COTVET, CBT Dept.
• Hand over the IT equipment to GTVP stakeholders; ensure signing of handing over certificates for filing by the FS
• Interact regularly with TPs, TAs/TCs, and ABs in the frame of the voucher-funded training process in order to ensure that all parties perform according to their contracts
• Conduct regular field visits at TAs, TPs, ABs to ensure performance and compliance with the agreed procedures
• Conduct verification of training to ensure completion of training and confirmation to allow processing of final payments.
• Check the data quality of VMS master data, VMS process data and VMS reports on regular basis for those GTVP stakeholders, the respective RC/PCS is responsible for
• Collect and compile M&E data, project performance indicators, and other relevant information required for GTVP reporting
• Report on M&E data and performance indicators to GTV Project Coordinator and FC Consultant on weekly basis
• Share relevant information and observations with the GTVP Team, COTVET, PLANCO, and colleagues of other COTVET strategic partners within Ghanaian-German cooperation where appropriate

PERFORMANCE CRITERIA

• An adequate number of TAs, TPs, and ABs in the respective project region is contracted
• An adequate number of beneficiaries in the respective project region is trained
• Monthly field visits to TAs, TPs, and ABs are executed and field reports are submitted to the Project Coordinator
• There is frequent communication with TAs, TPs, and ABs supporting generation of sufficient demand and training capacities
• TAs, TPs and ABs in the respective project region correctly utilize the VMS
• The data quality of VMS master data, VMS process data and VMS reports for the respective project region is high

E. IT SPECIALIST

RESPONSIBILITIES

• Ensure full functionality of the VMS
• Support GTVP Team and GTVP stakeholders in usage of VMS
• Oversee VMS backup and maintenance in coordination with the IT unit COTVET developers
• Maintain the GTVP internal IT network

TASKS
• Establish co-ordination with Regional Coordinators on VMS
• Maintain the VMS (install updates as required)
• Maintain the VMS bugs and related issues
• Execute VMS housekeeping
• Administration of backup services on separate location
• Provide 2nd level support to the users
• Interface with provider for 3rd level issues
• Support training of GTVP stakeholders on VMS use
• Install GTVP file server and IT network
• Provide support to GTVP Team related to IT issues (hardware and software)
• Maintain the IT-related “issue list” and ticket system
• Pro-actively follow-up problem solving

JOB-SPECIFIC PERFORMANCE CRITERIA
• New/changed VMS features are efficiently tested
• Local 3rd level support is efficiently provided
• Technical bottlenecks are proactively identified and issues solved in adequate time
• Issues as per “issue list” / ticket system under control or problem solving initiated in the agreed time span
• Communication with server host is ensured
• Status of main tasks/issues is frequently reported to the Project /Voucher Management Coordinator.
• GTVP Team members are well informed about changes in the VMS

F. PROJECT ASSISTANT

RESPONSIBILITIES
Assistant the GTVP Team in the following fields:
• General project coordination and reporting,
• Procurement and contracting
• VMS data maintenance
• Communication
• Marketing and events preparation
• Finance and payment processing.

TASKS
Upon advice of the GTVP Team:
• Tasks related to reports writings, VMS data maintenance, communication and marketing and, procurement and accounting
• Further administrative and clerical support upon demand needed in order to ensure efficient operation of the GTV Team, e.g.
• Call for internal meetings
• Invite external participants to meetings
• Organization of meetings, preparing meetings incl. agenda, infrastructure and drinks
• Drafting of minutes, drafting of official letters
• Assist in coordination and preparation of field trips of GTVP staff

JOB-SPECIFIC PERFORMANCE CRITERIA
• Assistant services are reliable and supportive to the project
• Positive feedback from team members
Before you start completing this form, please tell us how you heard about the Ghana Skills Development Fund (please tick)

- Newspapers
- SDF Website
- Trade Association
- Radio Advert
- Television
- SDF Workshops & Exhibitions
- Others (Please specify):

In one short sentence, state the title of your grant application:

Which sector do you operate? (Note: priority will be given to operators in the agribusinesses and renewable energy sectors).
- Agribusiness
- Renewable Energy
- Tourism & Hospitality
- ICT
- Construction
- Manufacturing
- Research, Education and Training
- Others (Specify: )

### 1. INFORMATION ON APPLICANT

<table>
<thead>
<tr>
<th>Name of Organisation or Association applying for Grant</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name and Job Title of Head of organisation or Association</td>
<td></td>
</tr>
<tr>
<td>Is the Head of organisation or Association Male or Female?</td>
<td>Male</td>
</tr>
<tr>
<td>Main business activity of organisation or Association</td>
<td></td>
</tr>
<tr>
<td>Which Year was the organisation established?</td>
<td></td>
</tr>
<tr>
<td>With which authority is your organisation registered?</td>
<td></td>
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<tr>
<td>Name of your organisation's Bank</td>
<td></td>
</tr>
<tr>
<td>Branch of your bank</td>
<td></td>
</tr>
<tr>
<td>Bank account number</td>
<td></td>
</tr>
<tr>
<td>Total number of paid staff</td>
<td>TOTAL</td>
</tr>
<tr>
<td>Did you arrange any training for your members/staff last year?</td>
<td></td>
</tr>
<tr>
<td>What is the nature of the training arranged for your members/staff?</td>
<td></td>
</tr>
</tbody>
</table>

**THIS SECTION IS APPLICABLE TO ASSOCIATIONS, CLUSTERS AND GROUPS ONLY**

<table>
<thead>
<tr>
<th>Number of members (attach list of names, locations and contact information of ALL members)</th>
<th>TOTAL</th>
<th>Male</th>
<th>Female</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of dues-paying members.</td>
<td>TOTAL</td>
<td>Male</td>
<td>Female</td>
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</table>
## 2. OFFICE LOCATION OF APPLICANT

<table>
<thead>
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<th>Community/Village/Town</th>
<th>District/Metropolis/Municipal</th>
<th>Region</th>
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<th>Postal address</th>
<th>Street address (Physical Address)</th>
<th>E-mail address</th>
<th>Phone number</th>
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<td></td>
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## 3. DETAILS OF CONTACT PERSONS

Please complete for Head of Organisation and at least two other persons

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Sex</th>
<th>E-mail address</th>
<th>Phone number</th>
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<tbody>
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## 4. WHAT IS THE MAIN CHALLENGE OR PROBLEM WITH THE BUSINESS, WHICH IS THE REASON YOU ARE APPLYING FOR A GRANT TO SOLVE

(Maximum half a page)

Briefly describe what you believe should be the solution to the problem(s) identified. How many people will your solution cover? Your solution must be credible, achievable, and consistent with the strategy. Members are paying for which you are applying for grants to cover. How long has the problem existed and what previous efforts have you made to solve the problem? Please be specific and direct to the point.

## 5. WHAT IS THE PROPOSED SOLUTION TO THE PROBLEM(S) IDENTIFIED?

(Maximum half a page)

Briefly describe what you believe should be the solution to the problem(s) identified. How many people will your solution cover? Your solution must be credible, achievable, and consistent with the strategy.

## 6. HOW WOULD YOU CARRY OUT THE PROPOSED ACTIVITIES

(Maximum half a page)

Please describe the strategy to be employed and list 5 major activities to be carried out. The

## 7. WHAT IS EXPECTED FINAL RESULT OF THE PROPOSED SOLUTION

(Maximum half a page)

Please describe the results you expect after the grant has been given to you. The result may be increase in production, increased productivity, increase in quality of products, acceptance of product by the market, etc.
8. WHAT MEASURES WILL YOU TAKE TO ENSURE THE LASTING EFFECTS OF THE SUPPORT ON YOUR ORGANISATION
(Maximum half a page)

Please ensure measures proposed are realistic and implementable.

Name of Head of Organisation:

Position/Job Title:

Signature:
ANNEX 7: GSDF SCREENING FORM FOR CONCEPT NOTES

**GSDF SCREENING FORM FOR CONCEPT NOTES**

<table>
<thead>
<tr>
<th>1. CONTACT DETAILS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SDF FILE NUMBER</strong></td>
</tr>
<tr>
<td><strong>NAME</strong> OF APPLYING ORGANISATION</td>
</tr>
</tbody>
</table>

Please evaluate the attached grant pre-qualification application using the following scale for each criterion: 5 = Excellent, 4 = Good, 3 = Average, 2 = Weak, 1 = Poor

NA = Not applicable/Not available, YES = Adequate information, NO = Insufficient information

Your grading should be within the context of the approved frameworks for support to the target sector

(Provide the appropriate reference when documents are completed)

<table>
<thead>
<tr>
<th>2. BASIC INFORMATION</th>
</tr>
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<tbody>
<tr>
<td><strong>Information</strong></td>
</tr>
<tr>
<td>Adequate contact data on applicant?</td>
</tr>
<tr>
<td>Adequate information on main activity?</td>
</tr>
<tr>
<td>Adequate information on registration?</td>
</tr>
<tr>
<td>Adequate information on ownership?</td>
</tr>
<tr>
<td>Adequate bank information?</td>
</tr>
<tr>
<td>Adequate information on contact persons?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. ASSESSMENT OF APPLICANTS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criteria</strong></td>
</tr>
<tr>
<td>1. Does the applicant belong to GSDF’s focal target group?</td>
</tr>
<tr>
<td>2. Is the situation the applicant wants to address relevant for SDF as captured by the framework?</td>
</tr>
<tr>
<td>3. Does the proposed solution to improve the situation credible, achievable, and consistent with the strategy.</td>
</tr>
<tr>
<td>4. Does the proposed strategy demonstrate creativity, innovation, efficiency and practicability?</td>
</tr>
<tr>
<td>5. Is the final result of the intervention ambitious, specific, attainable and measurable?</td>
</tr>
<tr>
<td>6. Have applicants proposed sufficient, realistic and implementable measures to ensure the lasting effects of any anticipated support on their organisation?</td>
</tr>
</tbody>
</table>

**TOTAL SCORE (Max. 30 points)**

<table>
<thead>
<tr>
<th>4. CONCLUSION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Can you recommend that the application is invited to submit a full proposal?</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. IF THE APPLICATION SHOULD BE REJECTED, PLEASE EXPLAIN WHY</th>
</tr>
</thead>
</table>

Name: | Date:
ANNEX 8: GSDF DUE DILIGENCE REPORT

GSDF DUE DILIGENCE REPORT

GRANT APPLICANT

This report is written by the accredited service provider or another person designated by the GSDF at the stage of evaluation of the project proposal. It is reviewed by the Grant Specialist. The purpose of the report is to communicate to the GSDF Secretariat and the GSDF Oversight Committee of the overall accuracy and integrity of the information presented in the project proposal. It is an opportunity to note any potential risks associated with a decision based on any unsubstantiated or missing information.

GPS Location
Please indicate the GPS location of the applicant (MANDATORY)

<table>
<thead>
<tr>
<th>Latitude</th>
<th>Longitude</th>
</tr>
</thead>
</table>

1. CONTACT DETAILS

<table>
<thead>
<tr>
<th>GSDF FILE NUMBER</th>
<th>NAME OF APPLYING ORGANISATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>TYPE OF APPLICANT (Company, SME, Cluster, Training Institution, Association)</td>
<td></td>
</tr>
<tr>
<td>NAME OF CONTACT PERSON AND JOB TITLE</td>
<td></td>
</tr>
<tr>
<td>LOCATION ADDRESS OF APPLICANT</td>
<td></td>
</tr>
<tr>
<td>TELEPHONE NUMBER OF APPLICANT</td>
<td></td>
</tr>
<tr>
<td>E-MAIL ADDRESS OF APPLICANT</td>
<td></td>
</tr>
</tbody>
</table>

ITEM | [Y]/[N]/[N/A] | Comment
--- | --- | ---
Please Mark ‘Y’ where the information given in the application form matches with what is established during due diligence; ‘N’ where it does not and ‘N/A’ where it is not applicable. Provide comment (mandatory)

2 CONFIRMATION OF APPLICANT’S OPERATIONS

<table>
<thead>
<tr>
<th>ITEM</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Business registration</td>
<td>(For W2 applicants, indicates if registration is with local authorities)</td>
</tr>
<tr>
<td>2.2 Grant project falls in line with objects of the applicant</td>
<td>(Note if information provided by applicant is a marked departure from what has been provided in proposal)</td>
</tr>
<tr>
<td>2.3 Grant project is in line with applicant’s main business activities</td>
<td>(Comment on any departures)</td>
</tr>
<tr>
<td>2.4 Applicant has necessary operating license(s) For training institution (Accreditations)</td>
<td>(Some business operations require licenses other than the business registration)</td>
</tr>
<tr>
<td>2.5 Audited accounts/Statement of Affairs</td>
<td></td>
</tr>
</tbody>
</table>
2.6 Please confirm whether or not the company keeps the following books and registers:

For Associations:
- Register of members
- Executive meetings
Annex 9: GENERAL QUALIFICATIONS AND REQUIREMENTS OF GSDF UNIT STAFF

Fund Manager

General Qualifications
- A Fund manager with at least 5 years of leadership experience in relation to the management of a challenge fund.
- Have a post graduate degree in Economics, Finance or a related discipline;

Adequacy for the assignment
- Must demonstrate proven competencies with tools of fund managements and grants administration within a challenge fund context;
- Experience in providing leadership and guidance to teams; manage, mentor, and periodically evaluate the performance of the staff in accordance with laid down policies and procedures and international best practices;
- Proven experience with interacting with board of directors or steering committees as a fund manager;
- Proven experience from working with development partners;

Experience in the region and language
- Very good experience from working in Ghana;
- Fluency in English and at least one local Ghanaian language.

Deputy Fund Manager

General Qualifications
- Must have a minimum of 5 years of grant management experience at senior level on a donor funded project.
- Must have a minimum of a post graduate degree in finance, economics or a related discipline

Adequacy for the assignment
- Must have hands on experience with grant administration
- Must demonstrate competency with project implementation and supervision to obligations under grant agreements;
- Experience from managing and monitoring grantees of a challenge fund;
- Experience in ensuring appropriate systems are in place for filing and input to computerised databases are accurate plus experience in preparing grant disbursement schedules and managing errors and delays.

Experience in the region and language
- Experience from working in Ghana;
- Fluency in English and at least one local Ghanaian language.

Grant Officer

General Qualifications
- Must have a minimum of 3 years of grant management experience at senior level;
• Must have a minimum of a post graduate degree in finance, economics or a related discipline.

Adequacy for the assignment
• Must have hands on experience with grant administration and management of PSOs, and Business Associations in a skills development or training context within Ghana;
• Must demonstrate competency with project implementation, supervision and appropriate documentation in relation to contractual obligations under grant agreements;
• Experience from managing grantees i.e.; receiving and screening reports from grantees and experience from field visits and interactions with grant beneficiaries to ensure that objectives are met;
• Experience in ensuring appropriate reporting and filing systems are in place and regularly updated to enhance grant disbursements and management.

Experience in the region and language
• Experience from working in Ghana;
• Fluency in English and at least one local Ghanaian language.

Financial Specialist

General Qualifications
• Must have a minimum of 5 years of financial management experience at senior level on a donor funded project;
• Must have a minimum of a post graduate degree in finance and or accounting.

Adequacy for the assignment
• Hands on experience in providing oversight for bank reconciliations, accounts, ledgers, and reporting systems plus ensuring compliance with appropriate Generally Accepted Accounting Principles, regulatory requirements, budget and audit requirements;
• Experience from managing the financial obligation on a daily basis, which includes creating, modifying and obligating fund accounts and managing cross-activity transfers where appropriate;
• Must be practically familiar with concepts of liquidity management, asset-liability management and treasury management;
• Working knowledge in data report extraction, preparing quarterly reports, and any other financial information and resolve any discrepancies as required;
• Proven experience from working with development partners in preferably in a private sector development context. Experience in the region and language

Experience from working in Ghana
• Fluency in English and at least one Ghanaian language

M&E Specialist

General Qualifications
• Must have a minimum of 5 years’ experience doing M&E at a senior level on a donor funded project;
• Must have a minimum of a post graduate degree in project management, economics or a related discipline.
Adequacy for the assignment

- Experience from tracking the project’s log frame indicators as well as flexibility in dealing with multi donor requirements;
- Excellent track record in supervising and coordinating the work of a team of consultants in gathering data, conducting due diligence, and monitoring and evaluating projects according to the M&E plan;
- Demonstrable capacity and experience in using monitoring information system plus the ability to analyse and interpret data collected at various levels of the project cycle and to conduct quality assurance on such. Experience in the region and language

Experience from working in Ghana

- Fluency in English and at least one Ghanaian language.
<table>
<thead>
<tr>
<th>Item</th>
<th>Quantity/Frequency</th>
<th>Short Specification</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Logo</strong></td>
<td>1</td>
<td>Development of Logo as ‘Branding’ of the GJSP</td>
</tr>
<tr>
<td><strong>Photography</strong></td>
<td>20</td>
<td>Provision of photographical material for immediate use</td>
</tr>
<tr>
<td><strong>Project Flyers for ad hoc need</strong></td>
<td>2,000</td>
<td>Development and production of project brief for immediate use</td>
</tr>
<tr>
<td><strong>Promotion Event COTVET Stakeholders</strong></td>
<td>2</td>
<td>Organization and Implementation of two events addressing COTVET stakeholders</td>
</tr>
<tr>
<td><strong>Lobbying Event Policy and Decision Makers</strong></td>
<td>2</td>
<td>Organization and Implementation of a high-level event addressing policy and decision makers, especially Parliamentary Select Committee on Education and other stakeholders.</td>
</tr>
<tr>
<td><strong>Press soiree per year</strong></td>
<td>2</td>
<td>Organize a soiree for the media to engage them on key achievements of the project as well as upcoming events and on issues arising in skills development</td>
</tr>
<tr>
<td><strong>Capacity building and training for communication team</strong></td>
<td>4</td>
<td>Capacity building of GJSP/COTVET personnel</td>
</tr>
<tr>
<td><strong>Print Media</strong></td>
<td></td>
<td>Development of visual style guide ensuring cohesion and consistency in all marketing products</td>
</tr>
<tr>
<td><strong>1. Visual Style Guide</strong></td>
<td>1</td>
<td>Design and production of diverse print items</td>
</tr>
</tbody>
</table>
| **2. Diverse Print Items** | | 1. Facts sheets/brochures (5000)  
2. Roll-up banners (30)  
3. Posters (200)  
4. Branded mugs (200)  
5. Branded wall calendars (1000) & branded desktop panel calendars (1000) |
| **Documentary Film(s)** | 1 (annually) | Development and production of documentary film |
| **1. Documentary Film** | | 1. Master video of 15-20 min.  
2. Sequences of master video of approx. 5 min each that can also stand alone |
| **Audio-Visual Media - Media Buying** | | Development and Production of a 30 to 45 second TV advert in English  
Development and Production of a 45 to 60 second radio adverts in English, Twi, Dagbani and Ewe  
Design of a newspaper print advert to be published in national press  
Media Buying: TV airtime for documentary & TV advert, space in national newspaper for advert and Radio airtime for radio advert |
| **Social Media Management Media Buying** | 1 | Management of Facebook, Twitter and Instagram Accounts for 1 year |
Annex 11: FORMAT AND CONTENT OF QUARTERLY IFR
Annex 12: FORMAT FOR PREPARATION OF ANNUAL WORK PLAN
Annex 14: FORMAT FOR PREPARATION OF PROCUREMENT REPORT
### Annex 15: GENERAL POTENTIAL IMPACTS AND MITIGATION MEASURES

<table>
<thead>
<tr>
<th>Potential Risks and Impacts</th>
<th>Possible Sources</th>
<th>Risks Mitigation Measures</th>
</tr>
</thead>
</table>
| Waste generation and management | • By products of business activities  
• Poor sanitary conditions at workplace  
• Possible use of grants for construction activities to expand business premises | • Waste segregation and reuse of waste as first option  
• Provide bins at workplace for storage of garbage (encourage sorting of waste)  
• All metal scrap waste will be disposed of at sites approved by the MMDAs or sold to approve third party agents for use by metal companies.  
• Excavated earth materials will, as much as possible, be re-used for back filling purposes  
• Regular cleaning and maintenance of drainage systems, sumps and oil interceptors  
• Use of oil trays for waste oil collection and reuse of waste oil for other activities |
| Air Pollution | • Use of machinery at some business premises  
• Possible use of grants for construction activities to expand business  
• Burning of waste materials | • Work equipment and machinery to be regularly maintained and serviced to reduce emission when in use.  
• Engines of vehicles, equipment and machinery to be turned off when not in use.  
• Prohibition of open burning of waste |
| Noise and Vibration | • Use of workplace machinery  
• Possible use of grants for construction activities to expand business premises | • Work equipment and machinery to be regularly maintained and serviced to reduce noise generation when in use.  
• Engines of vehicles, equipment and machinery to be turned off when not in use. |
<table>
<thead>
<tr>
<th>Issues</th>
<th>Details</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residents and other commercial</td>
<td>Residents and other commercial activities to be notified in advance of noisy machinery before use</td>
<td>before use</td>
</tr>
<tr>
<td>activities to be notified in</td>
<td></td>
<td></td>
</tr>
<tr>
<td>advance of noisy machinery before</td>
<td></td>
<td></td>
</tr>
<tr>
<td>use</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Occupational, Safety and Health</td>
<td>• Lack of access and poor use of protective clothes</td>
<td>• All workers should be given proper induction/orientation on safety.</td>
</tr>
<tr>
<td>(OSH) Issues</td>
<td>• No proper water and sanitation practices at workplaces</td>
<td>• Regularly service all equipment and machinery to ensure they are in good working condition.</td>
</tr>
<tr>
<td></td>
<td>• Fire prevention and Control</td>
<td>• Ensure there are first aid kits on site and a trained person to administer first aid.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Provide and enforce the use of appropriate personal protective equipment (PPE)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Apply sanctions where safety procedures are not adhered to.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Work places to be mandated to have fire extinguishers</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Proper information notification and orientation on safety at workplaces</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Conservation of electricity should be a priority at workplaces</td>
</tr>
<tr>
<td>Gender Based Violence</td>
<td>• Mixed gender at workplaces</td>
<td>• Education and sensitization on gender-based violence and rights of women at trainings.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Training Service Providers and sub-contractors required to sign a code of conduct</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Support survivors to access relevant services (if required)</td>
</tr>
<tr>
<td>Discrimination based on gender</td>
<td>• Mixed gender at workplaces</td>
<td>• guarantee equal rights to both sexes at workplaces as per the constitution of Ghana</td>
</tr>
<tr>
<td>2. Upgradation of selected Public Employment Centers under project Component 3</td>
<td>- Ensuring that females enjoy their maximum maternity rights</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
</tr>
</tbody>
</table>
| **Creation of burrow pits leading to soil and land degradation** | • Sourcing of earth materials  
• Concurrent reclamation and backfilling  
• Replanting of trees that have been removed  
• Avoidance of sensitive vegetation for earth materials |
| **Vegetation losses, soil disturbance and Erosion** | • Sourcing of earth materials  
• Replanting of trees that have been removed  
• Avoidance of sensitive vegetation for earth materials |
| **Air quality** | • Rehabilitation works  
• Transport of construction materials and waste  
• Exhaust emissions for equipment including heavy duty trucks  
• Burning of construction waste  
• Soil/s and cement loads in transit to be well covered to reduce dust levels rising above acceptable levels.  
• Stockpiles of exposed soil and unpaved access roads to be sprinkled with water to regulate dust levels.  
• Use of good quality fuel and lubricants in vehicles, equipment and machinery.  
• Ensure that heaped sand delivered for construction works is covered with tarpaulin to prevent wind and water transport of soil particles  
• Engines of vehicles, machinery, and other equipment to be switched off when not in use.  
• Regular scheduled maintenance and servicing to be carried out on all vehicles and equipment to minimize exhaust emissions. |
| Vibration and Noise | • Site demolition activities  
|                    | • Rehabilitation works  
|                    | • Noise from equipment | • Construction noise will be limited to restricted times agreed to in the permit  
|                    |                         | • During operations the engine covers of generators, air compressors and other powered mechanical equipment shall be closed, and equipment placed as far away from residential areas as possible  
|                    |                         | • Construction equipment and machinery to be regularly maintained and serviced to reduce noise generation when in use.  
|                    |                         | • Engines of vehicles, equipment and machinery to be turned off when not in use.  
|                    |                         | • Earthworks and other construction/rehabilitation activities to be phased out or controlled to reduce noise generation during construction.  
|                    |                         | • Neighboring residents and commercial activities to be notified in advance of the project before contractor mobilizes to site  

| Generation and disposal of solid waste | • Construction/rehabilitation works  
|                                       | • Office waste | • Excavated earth materials will, as much as possible, be re-used for backfilling purposes to reduce waste  
|                                       |               | • Excavated solid waste from the drain channel that are unsuitable for backfilling will be collected onsite, allowed to drain and collected for disposal at sites approved sites in collaboration by the MMDAs. |
- Ensure that the required amounts of construction materials are delivered to site to reduce the possibility of the occurrence of excess material
  - Provide bins on site for temporary storage of garbage such as lubricant containers, drinking water sachets and carrier bags/packaging materials.
  - All metal scrap waste will be disposed of at sites approved by the MMDAs or sold to approve third party agents for use by metal companies.

| Relocation of staff and office equipment of PECs | Rehabilitation and refurbishment activities | Provide alternative office space for staff and office equipment. |
| Occupational, health and safety risks | Non-use of PPEs by construction workers  
Absence of first aid treatment and potable water for construction workers | Engage experienced artisans for construction works.  
All workers should be given proper induction/orientation on safety.  
The contractors will have a Health & Safety Policy and procedures to guide the construction activities.  
Regularly service all equipment and machinery to ensure they are in good working condition.  
Ensure there are first aid kits on site and a trained person to administer first aid.  
Provide and enforce the use of appropriate personal protective equipment (PPE) such as safety boots, reflective jackets, hard hats, hand gloves, earplugs, nose masks, etc. |
- Proof of competence for all equipment/machine operators will be required and established through inspection of valid drivers or operator’s license or documents.
  - Comply with all site rules and regulations.
  - Apply sanctions where safety procedures are not adhered to.
  - Site meetings should create awareness on OHS.

<table>
<thead>
<tr>
<th>Potential for exclusion from consultation</th>
<th>Rehabilitation and refurbishment activities</th>
<th>Conduct stakeholder identification and mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Effective consultation with stakeholders including feedback throughout the project cycle.</td>
</tr>
</tbody>
</table>
Annex 16: Environmental and Social Screening Checklist and Form
Annex 17: EPA ENVIRONMENTAL ASSESSMENT FORMS
Annex 18: GENERIC TERMS OF REFERENCE FOR PROCUREMENT OF ESIS CONSULTANT