
**COMMUNITY CLIMATE CHANGE PROJECT
(CCCP)**

**SOCIAL MANAGEMENT
FRAMEWORK (SMF)**

**PALLI KARMA-SAHAYAK
FOUNDATION (PKSF)**

Government of the People's Republic of Bangladesh

February, 2012

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ABBREVIATIONS & ACRONYMS

BCCRF	Bangladesh Climate Change Resilience Fund
BCCSAP	Bangladesh Climate Change Strategy and Action Plan
CBO	Community-Based Organization
CCCP	Community Climate Change Project
CHT	Chittagong Hill Tracts
ESMF	Environmental and Social Management Frameworks
FGD	Focus Group Discussion
GoB	Government of Bangladesh
GR	Grievance Redress
GRM	Grievance Redress Mechanism
NGO	Non-Government Organization
OM	Operational Manual
OP 4.10	Indigenous Peoples
OP 4.12	Involuntary Resettlement
OP	Operational Policy
PCN	Project Concept Note
PIP	Project Implementing Partners
PKSF	Palli Karma-Sahayak Foundation
PMU	Program Management Unit
PO	Program Officer
RAP	Resettlement Action Plan
SGP	Sub-Grant Proposal
SIP	Social Inclusion Plan
SMF	Social Management Framework
TP	Tribal People
TPP	Tribal Peoples Plan

A. SOCIAL ISSUES AND IMPLICATIONS

Introduction

1. The Community Climate Change Project(CCCP) is being designed as a grant funding mechanism to support communities to increase their resilience to the impacts of climate change, by financing community-based adaptations relating to food security, social protection and health, disaster management, infrastructure, knowledge management and other activities that would enhance adaptive capacity of the vulnerable communities. The program will be financed from a multi-donor trust fund and the fiduciary matters will be administered by the World Bank. The Palli Karma Sahayak Foundation (PKSF), which will implement the program, would invite adaptation proposals from non-government organizations (NGOs)¹ engaged in poverty reduction and applied/action research on community-based adaptation measures. The Social Management Framework (SMF), as proposed for the CCCP, is intended to support PKSF to (i) ensure that the selected NGOs prepare and implement the adaptation proposals taking into account the social safeguard requirements of the World Bank; and (ii) provide guidance to PKSF and NGOs about integrating social and gender dimensions of climate change vulnerability into project screening, preparation, and implementation processes.

Background

2. Bangladesh is known to be one of the most climate-vulnerable countries in the world, and the impacts of climate change are already a significant challenge to its development. Frequent natural disasters – cyclones, storm surges and floods adversely impact the country's growth and development. Vulnerability to water-related impact is likely to be the most severe, with two third of the country below 5 meters above mean sea level. Rapid snow melt in the Himalayas caused by potential rise in temperature poses a high risk of sea level rise that may inundate a significant portion of the country's land mass. The agricultural sector is increasingly threatened by overpopulation, natural disasters and climate change effects leading to erratic weather patterns, frequent drought, exhaustion of natural resources and saline intrusion along the coast. Adaptation in agriculture is believed to be a key element in strengthening food security.

3. To deal with the impacts of climate change, the Government of Bangladesh prepared the *Bangladesh Climate Change Strategy and Action Plan (BCCSAP)* in 2009, in extensive consultations with stakeholders including government, sector ministries, academia, and civil society representatives. The BCCSAP has six main pillars: food security, social protection and health; comprehensive disaster management; infrastructure; research and knowledge

¹ The World Bank defines NGOs as "private organizations that pursue activities to relieve suffering, promote the interests of the poor, protect the environment, provide basic social services, or undertake community development" (Operational Directive 14.70). In wider usage, the term NGO can be applied to any non-profit organization which is independent from government.

management; mitigation and low carbon development; and capacity building. A multi-donor trust fund entitled, *Bangladesh Climate Change Resilience Fund (BCCRF)*, has been established for implementing the BCCSAP. It is designed to have two funding windows: an on-budget window for funding public sector projects, and an off-budget window for funding projects proposed by NGOs and the private sector. The CCCP is being designed as a funding mechanism for the off-budget window.

4. The BCCRF will be managed and implemented by the Government of Bangladesh (GoB) through the Ministry of Environment and Forests (MoEF). Activities funded under the CCCP will be implemented by PKSf –an apex institution with a nationwide network of partner organizations involved in microcredit and other social development activities. On behalf of the contributing DPs, and in consultation with the GoB, the World Bank will, for a limited duration, ensure due diligence requirements on the BCCRF (including fiduciary management, transparency and accountability) and ensure that projects are selected and implemented in accordance with the relevant GoB policies and in compliance with the World Bank’s operational policies, including those on environmental and social safeguards.

Social Safeguard Issues and their Implications

5. Projects under CCCP will be implemented in 3 climate vulnerable zones: drought-prone areas; saline-prone areas; and flood-prone areas. It is expected that NGOs could propose a variety of community-based climate change adaptation measures relating to the 6 BCCSAP pillars². These measures are not only likely to vary from one climate vulnerable zone to another, but may as well vary within the same zone depending on the climate change issues being addressed. During the tenure of the current CCCP, PKSf is expected to finance only the adaptation proposals that do not include any activities which may require use of public and/or private lands obtained through involuntary acquisition and/or involuntary displacement of people. However, there could still be proposals that may include, among other activities, physical works that are to be implemented on lands that may belong to the private owners and on public lands that may have been under use by authorized/unauthorized private citizens. There could also be adaptation proposals from localities in the 3 selected zones that are inhabited in small proportions by tribal peoples (TPs). Applicability of the social safeguards policies will depend upon the specific activities proposed for adaptation and the communities they involve in the different climate vulnerable zones.

6. As the implementing agency, PKSf will follow certain guiding principles to engage the appropriate NGOs, be responsible to invite and review adaptation proposals, and supervise and monitor implementation of those accepted for financing. In the process, NGOs and PKSf will ensure, among other requirements, that the proposals are prepared and implemented in compliance with social safeguard requirements. It is thus decided that PKSf and NGOs are made fully aware of the BCCSAP of GoB, and the procedures and operational requirements of

² These pillars, which are also the same in the BCCRF, are: (i) food security, social protection and health; (ii) comprehensive disaster management; (iii) infrastructure; (iv) research and knowledge management; (v) mitigation and low carbon development; and (vi) capacity building and institutional strengthening. Each of these pillars includes a number of activities that would help achieve the BCCSAP objectives.

GoB, and the World Bank on social safeguard compliance. This should help NGOs to select, design and implement adaptation projects consistent with the safeguard policies, and equip PKSF with guidelines to review and determine whether the projects are designed to ensure the compliance requirements.

7. Given the restriction that PKSF will not obtain land for any infrastructure through involuntary acquisition or causing involuntary displacement of peoples, the World Bank's Operational Policy on Involuntary Resettlement (OP 4.12) is not triggered. Social safeguard compliance requirements are thus likely to relate to the issues addressed in the OP 4.10 on Indigenous Peoples, which is applied where activities under a project are implemented in areas/localities inhabited by TPs.³ Although the compliance issues would remain unknown until an NGO proposal (Sub-Grant Proposal) is actually received and reviewed, PKSF has however prepared this SMF to address any social safeguard issues that may arise due to the activities contained in a Sub-Grant Proposal (SGP). Even though the OP 4.12 is not triggered, the SMF nevertheless includes land use guidelines consistent with the OP 4.12, considering the possibilities that there could be proposals with land-based activities that would result in immensely beneficial impacts. In addition to the social safeguards requirements, the SMF also provide guidance to ensure that SGPs take into account other social issues, including gender implications of vulnerability and adaptability that are considered important to cope with and adapt to the climate change impacts.

SMF Objectives

8. The principles, guidelines, and procedures provided in this SMF are intended to ensure that adaptation proposals are prepared, screened and implemented to achieve the following objectives:

- Enhance positive social outcomes of the community-based adaptive activities financed under CCCP;
- Ensure participation of the target communities, including women, while identifying the specific measures/activities for adaptation to the climate change impacts;
- Prevent or compensate for loss of livelihood, which may result from land-based adaptation activities and use of common property resources; and
- Ensure compliance with the relevant GOB policies and those of the World Bank on social safeguards and other social issues, including those with gender implications.

³ It is to be noted that starting with the Jamuna Multipurpose Bridge Project in the early 1990s, the social safeguard policies have been applied in all World Bank-supported projects in Bangladesh that involved land-based activities and used private and public lands, and/or implemented in areas and localities inhabited tribal peoples. The major operational issues embodied in these policies were discussed and agreed with the GoB (ERD, and the Ministries that implemented Bank-supported projects). The best practice in Bangladesh takes into consideration GoB laws that are relevant to dealing with social safeguard issues supplemented with the World Bank policies. In a programmatic approach, where projects are yet to be selected and impacts remain unknown, an SMF is adopted by following the Acquisition and Requisition of Immovable Property Ordinance 1982 (Ordinance II of 1982) and the World Bank's OP 4.12 on Involuntary Resettlement and OP 4.10 on Indigenous Peoples. Resettlement Plans and Indigenous Peoples Plans are prepared where the physical boundaries of projects are known and the impacts could be determined all at a time.

9. To achieve the objectives, Social Management Plan (SMP) will be prepared for each subproject for sub-grant request following the principles, guidelines and procedures outlined in this SMF and implemented before obtaining the sub-grant. The SMPs may include social inclusion plan (SIP) for all subprojects, resettlement action plan (RAP) where private lands or public land from private uses are taken for any infrastructure, and tribal peoples plan (TPP) where tribal peoples are affected.

Basic Planning Principles

10. Preparation, screening and implementation of the climate change adaptation proposals will be based on following principles:

- While preparing the proposals, NGOs will undertake extensive community consultations separately with men and women, with regard to,
 - Existing and emerging issues that may have been caused by climatic change;
 - Identifying the impacts that could be adapted to with community-based measures;
 - Identifying specific activities that are and would be appropriate for adaptation to the existing and emerging changes; and
 - Assessing equity issues in the distribution of adaptation benefits among the different social groups, in terms of socioeconomic characteristics, gender, ethnicity and the like.
- NGOs will be encouraged to consider projects that will significantly benefit women, in view of their needs and preferences expressed in consultations, especially in those separately conducted with them.
- All SGP's will be subjected to screening in order to prevent execution of projects that could result in significant negative social impacts.
- NGOs will not propose to undertake land-based physical activities that may require private lands that are to be acquired by using the power of eminent domain under the Bangladesh *Acquisition and Requisition of Immovable Property Ordinance, 1982*.
- Where use of private land is essential to implement critical adaptive measures, NGOs may seek voluntary contribution (without compensation) from the concerned landowners, and/or explore alternatives to voluntary contribution that may include "contribution against compensation" where the beneficiary communities might collectively pay for the compensation (see Section B).

Social Screening Guidelines

11. PKSF/NGOs will use the following guidelines for selection and implementation of adaptation measures:

Adaptation Measures with Negative Social Attributes. NGOs will not propose to undertake activities that will create social safeguards impacts that PKSF/NGOs/communities cannot mitigate with their current capacity. Such activities are those that involve involuntary resettlement and adverse impacts on tribal peoples.

Involuntary Resettlement: Any physical/construction activities that

- Require acquisition of private lands by using the Bangladesh *Acquisition and Requisition of Immovable Property Ordinance, 1982* (Guidelines for using private and public lands are provided in Section B)
- Require involuntary contribution of private lands
- Affect private homesteads
- Require lands that are not available on ‘contribution against compensation’ or other means not acceptable to the landowners
- Render households using public lands destitute
- Affect mosques, temples, graveyards, cremation grounds, and other places/objects that are of religious and cultural significance
- May significantly restrict access to common property resources and livelihood activities of groups and communities

Tribal Peoples: Any adaptation measures, including physical/construction activities that

- Threaten cultural/traditional way of life of tribal peoples
- May severely restrict access to common property resources (forests, water bodies, etc) and livelihood activities
- May affect places/objects of cultural and religious significance (places of worship, ancestral burial grounds, etc.)
- Require private lands using the power of eminent domain under the Bangladesh *Acquisition and Requisition of Immovable Property Ordinance, 1982* and cause resettlement/relocation

Selection, design and implementation of particular subproject will apply the following guidelines and requirements:

Guidelines for Using Land for Project Purposes (Section B). Provide principles, policies and guidelines for use of public and private lands and adverse impact mitigation; impact assessment procedure; and implementation and monitoring.

Guidelines for Tribal Peoples Plan (Section C). Contain principles and guidelines to identify and deal with adverse impacts on tribal population where an adaptation measure accepted for funding may adversely affect them.

Guidance Notes for Integration of Social and Gender Issues (Section D). Intended to help NGOs/PKSF to take into account social (non-safeguard) and gender dimensions into project selection, preparation and implementation.

12. NGOs will screen the adaptation proposals with respect to social safeguard issues and other social aspects including gender implications of the proposed activities. The NGOs, in consultation with the community members, will fill in the forms on Adaptation Measures with Negative Social Attributes (*Attachment A1*) and Social Safeguards Screening (*Attachment A2*) and submit them with the detailed project proposal. On its part, PKSF will review the information on negative social attributes in A1 to determine whether or not the proposal could be financed under CCCP. The information sought in the screening form A2 will inform PKSF whether or not the proposed activities would involve social safeguards issues and, if they do, the nature and scale of potential impacts and how they have to be mitigated in accord with the

SMF principles and guidelines. PKSF may also undertake visits of the project locations and the target communities and verify whether the proposals have been prepared in compliance with the SMF guidelines and the screening results truly reflect the ground reality.

Community/Stakeholder Consultation

13. Extensive consultations with the community and other stakeholders will be a key to undertaking community-based inclusive climate change adaptation measures and integrating social and gender issues into the sub-grant proposals. In addition to open community meetings, the NGOs will hold separate consultations/focused group discussions with women for a better understanding of how they have been impacted by climate change and coping with them, and what measures would help them most to cope with or adapt to the changes. Community consultation and participation framework will be an integral part of the SIPs.

14. Consultations will take place in open meetings and in an environment where the participants, irrespective of social status, would be able to express their observations and opinions freely. The objectives are to:

- Learn about how the communities have been impacted by climate changes and perceive of the emerging trends which would affect their lives, especially with respect to economic and livelihood activities
- Identify priority areas where adaptation is needed most
- Assess equity issues in the distribution of adaptation benefits and identify the factors that would enhance and hinder equity
- Collectively identify and agree on the most suitable adaptation measures for the community in general, including those that would help women to adapt
- Discuss the social safeguard implications/impacts, if any, that might be associated with any adaptation activities that are to be implemented by using private and public lands
- Where private and public lands are required, explore the ways and means as to how the lands would be obtained (Guidelines are provided in Section B)
- Assess and create community capacity to participate in project preparation, supervision and monitoring

15. NGOs will document, separately for men and women, the consultation details indicating community experience and perceptions about the climate change issues and impacts and their inputs/feedbacks; alternative adaptation measures suggested by both NGOs and communities; land availability for the chosen measures that may require physical activities and any agreement reached with the communities about it; and other information to confirm community ownership of the projects.

SMF Implementation: Institutional Arrangement

16. PKSF will establish a Program Management Unit (PMU) to manage CCCP. A Project Coordinator (PC) will head the Unit and be in charge of overall implementation of CCCP, including compliance with the social safeguard requirements specified in this SMF. The PC

will directly report to the PKSF Board through a designated senior official and be the contact person at PKSF for the BCCRF Secretariat, the World Bank and other development partners, as well as external agencies concerned with climate change adaptation. PKSF will report to the BCCRF Management Committee through a designated high official.

17. The PMU for CCCP will have a Program Officer - Training and Community/Social Development (PO-TCSD) to assist the Project Coordinator (PC) managing overall implementation of SMF, including compliance with the social safeguard requirements. The PMU will engage necessary number of operational Program Officers (POs) for supervision and monitoring subproject activities by NGOs at each of the three vulnerable zones. The POs will liaise with the NGOs (PIPs) and monitor implementation of the individual subproject, including those that involve social safeguard issues. The PO-TCSD at PMU will guide and assist the operational POs in SMF implementation monitoring and ensuring compliance of SMF guidelines. In addition, PKSF will have a technical evaluation team with a number of independent technical experts including social safeguards to review and select sub-grant proposals. The final approval of the proposals will be given by the PKSF Board.

18. The POs will liaise with the Project Implementing Partners (PIPs -- the NGOs whose proposals have been accepted for financing) and monitor implementation of the individual subprojects, including those that involve social safeguard issues. They will be the contact points for PIPs and will report to the PC. Details of the tasks that the PO-TCSD is expected to perform are outlined in the Terms of Reference in *Attachment A3*.

Monitoring and Evaluation

19. Monitoring will be a part of the existing M&E Unit in PKSF, where an M&E Specialist dedicated to CCCP will be engaged at PMU to look after all activities, including those for safeguards compliance. The POs will undertake monitoring visits quarterly and seek the validation of the monitoring already undertaken by the PIPs with community participation. The POs will ensure that the PIPs involve the local communities in subproject implementation and monitoring is participatory with representation from different climate vulnerable communities, including disadvantaged groups. Each PO will prepare his/her own half-yearly monitoring report and simultaneously submit to PKSF M&E Unit and the PC. The M&E Specialist will provide necessary technical guidance to the POs on monitoring, among other issues, the social safeguard compliance requirements of the subprojects.

20. The social safeguards compliances issues for all subprojects, along with other activities, will be evaluated at subproject completion. A mid-term review will also be conducted as a check to undertake corrective measures in implementation and monitoring. CCCP, as a whole, will be subject to external review at mid-term and impact evaluation at completion. PKSF and the World Bank will jointly formulate the terms of reference.

Capacity Building of PKSF

21. Climate change adaptation is relatively a new and emerging concept in Bangladesh. With the limited experience on these issues, PKSF will establish the PMU with necessary skills and specialized knowledge on climate change adaptation. The PMU will be staffed with pillar theme specialists and short-term experts who will network with or seek assistance from other

organizations including the World Bank to update themselves in the area of social safeguard along with climate change adaptation management. Relevant expert in the technical review team will provide social safeguard oversight in planning, implementation and monitoring.

22. PKSF will arrange advanced training for its staff to acquire the knowledge and skills required to manage the adaptation activities approved for CCCP funding including social safeguard compliance. It will consider local and foreign training and technical backup support from specialized organizations -- if required to continuously improve the capacity of the staff members dealing with activities under CCCP.

Grievance Redress Mechanism (GRM)

23. Grievance Redress Mechanism (GRM) will be established at central (PKSF) and subproject level to deal with any complaints/grievances about environmental and social issues. At the subproject level, the Union Parishad (UP) Chairman or his/her nominated representative from the UP will be the local Grievance Redress (GR) focal person for addressing the grievances. The concerned PO or any other official nominated by the PC will be the GR focal person at PKSF. The aggrieved persons or entities will address the complaints/grievances to the focal person designated by the UP Chairman and submit them in sealed envelopes to the PIP office. The PIP will enter the grievances into the Grievance Register and issue receipts to the aggrieved persons/entities with the entry reference. PIPs will not open the envelopes, but inform the local GR focal person about receipt of complaints and schedule hearings as per his/her advice. In open meetings, he/she will hear and discuss the complaints and try to resolve them in view of the applicable guidelines of the SMF. The aggrieved person, if female, will be assisted by a female UP member in the hearing, and if from a tribal community, by a tribal representative. It is expected that all complaints at PIP level will be disposed within 15 days, failing which the petitioner can seek resolution from the focal person at the PKSF headquarters.

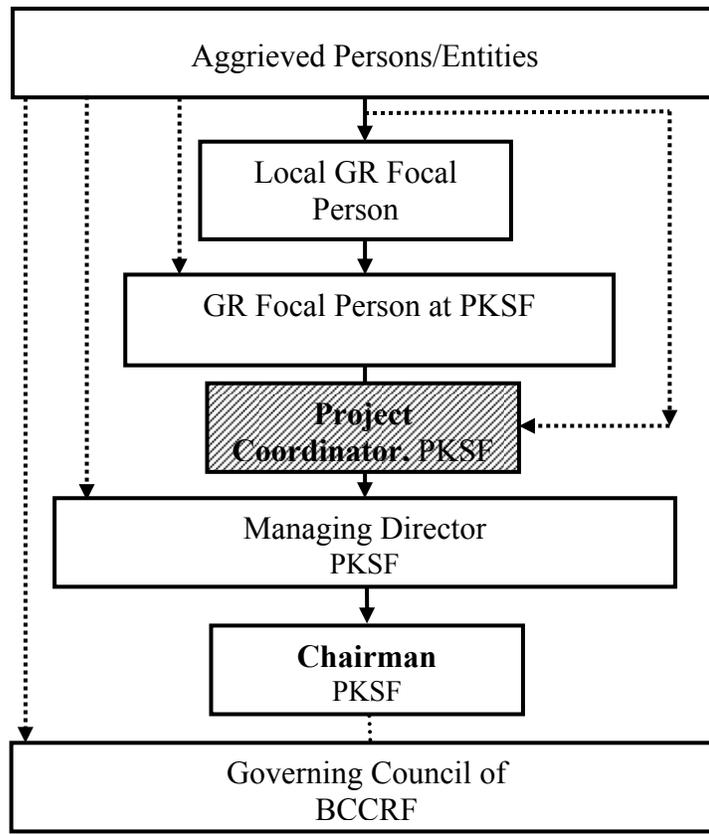


Figure 1: Institutional Arrangement of the GRM

24. Any time, any aggrieved person can send complaints directly to the MD of PKSF. The MD will review and try to resolve the complaints and may seek advice from the PKSF Chairman/Board about any issues critical to the project. The aggrieved persons or entities will also have the option to lodge the complaints directly to the Governing Council of BCCRF when they are not satisfied with resolutions proposed up to the MD level. A decision agreed by the complainants at any level of hearing will be binding on the concerned PIPs and PKSF. *The GRM will, however, not pre-empt an aggrieved person's right to seek redress in the courts of law.* The institutional arrangement of Grievance Redress Mechanism is illustrated in Figure 1.

25. *The aggrieved person/entities will also have the option to lodge the complaints directly to the PC (GR focal point at PKSF) if they are against the NGO, to the PKSF MD if they are against the PKSF project management, and to the Governing Council at BCCRF Secretariat if there are any issues related to PKSF itself.*

26. The provision of GRM and the process will be well disclosed to the community and the likely affected persons before implementation of subprojects. The disclosure will be done by the NGOs and ensured by POs. NGOs/PKSF will keep the records of all resolved and unresolved complaints and grievances and make them available for review -- as and when requested for by the World Bank. The case records will also be posted in the CCCP website.

SMF Disclosure

27. PKSF will disclose the SMF in its website along with a summary in Bangla and make their hard copies available at its headquarters and other locations (e.g., Upazila Parishad, Union Parishad and PIP project office) that can be easily accessed by public. On its part, the Bank will place the document in its InfoShop and at Country Office Information Center in Dhaka.

Attachment A1: CHECKLIST FOR SUBGRANTS WITH NEGATIVE SOCIAL ATTRIBUTES

[NGOs will complete this checklist and submit with the Project Proposal. PKSF will also use this checklist for physical verification]

NGO Name:

Project Title & Location:

.....

Involuntary Resettlement: <i>Do the proposed project activities:</i>			
1.	Require private land which is to be <i>acquired</i> by using the Bangladesh <i>Acquisition and Requisition of Immovable Property Ordinance, 1982</i> ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Require private land which is not available on voluntary contribution?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Affect any <i>private homesteads</i> (vita with houses & other assets)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	Require land that is not available on ‘contribution against compensation’ or other means not acceptable to the landowners?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.	Make persons/households using public lands destitute?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.	Affect mosques, temples, graveyards, cremation grounds, and other places/objects that are of religious and cultural significance?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7.	Affect livelihood of vulnerable persons based on the required land?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8.	Significantly restrict access to common property resources and livelihood activities of groups and communities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Tribal Peoples: <i>Do the proposed adaptation measures, including physical / construction activities:</i>			
1.	Threaten cultural/traditional way of life of tribal peoples?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Require tribal lands that are to be acquired by using the Bangladesh <i>Acquisition and Requisition of Immovable Property Ordinance, 1982</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Severely restrict access to common property resources (forests, water bodies, etc) and livelihood activities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	Affect places/objects of cultural and religious significance (places of worship, ancestral burial grounds, etc.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
“Yes” answer to any of the questions under Involuntary Resettlement and Tribal Peoples will make the proposed project <u>ineligible</u> for financing under CCCP.			

Attachment A2: SOCIAL SAFEGUARD SCREENING FORM

[NGOs will complete this form and submit it with the Project Proposal]

NGO Name & Address:

Screening Dates:

A. The Proposed Project

1. *Project Title:*

2. *Project relates to the following BCCSAP pillar(s):*
.....
.....

3. *Location of the project and target/beneficiary communities*
Village: Union:
Upazila: District:

4. *Project proposed for communities where residents are:*
 All mainstream or non-tribal peoples
 All tribal peoples
 Majority mainstream or non-tribal peoples
 Majority tribal peoples

5. *Brief description of proposed activities and expected benefits:*
.....
.....
.....
.....

6. *How do poor in general and women in particular benefit from the proposed activities,?*
.....
.....
.....

7. *Description of any physical/construction activities that will be required by the project:*
.....
.....
.....

B. Community Participation

8. Community consultations conducted on the following dates:

9. Women were consulted separately: Yes No

Consultation minutes are available for review: Yes No

10. Names of NGO personnel participated in screening:

.....

11. Names of community members participated in screening:

.....

.....

.....

.....

C. Social Safeguard Issues

12. Were free prior and informed consultations held with the communities? Yes No

If 'Yes', consultation dates:

13. Does the project require any physical/construction activities?

Yes No

14. Will there be a need for lands to carry out the physical/construction works?

Yes No

15. If 'Yes', the required lands presently belong to:

Government (Public Lands: *Khas*, other GoB agencies, Local Governments)

Private citizens

Commons land

Others (mention)

16. If the required lands are Public Lands, they are presently used for:

Agriculture (No. of persons/households using the lands:)

Residential purposes (No. of households living on them:)

Commercial purposes (No. of persons: No. of shops, etc:)

17. If the required lands are Private Lands, they are presently being used for:

Agriculture (No. of landowners/households:)

Residential purposes (No. of households:)

Commercial purposes (No. persons: No. of shops, etc:)

18. If the required lands are Private, they will be mobilized through:

Voluntary contribution

"Contribution against compensation"

Other means (Mention):

D. Information on Tribal Peoples (TP)

19. *If the required lands are Private and belong to Tribal Peoples, they will be obtained through:*
 Voluntary contribution
 “Contribution against compensation”
 Other means (mention):

20. *Do the physical/construction works restrict any Tribal Peoples’ access to any resources that they use for livelihood?*
 Yes No

21. *If yes, dates of consultation held with the TP communities and their organizations:*
Are consultation minutes available for review: Yes No

22. *Names of TP community members and organizations which participated in social screening:*
.....
.....
.....

23. *Is there a traditional grievance redress mechanism (GRM) in the project locality?*
 Yes No

24. *If ‘Yes’, did any member of this GRM participated in social screening?*
 Yes No

25. *The would-be affected TP have the following forms of rights to the required lands (more than one may apply):*
 Legal (No. of TP households:)
 Customary (No. of TP households:)
 Lease agreements with the government (No. of TP households:)
 Others (Mention):
(No. of TP households:)

24. *The following are the three main economic activities of the would-be affected TP households:*
a.
b.
c.

25. *Social concerns expressed by TP communities and organizations?*
.....
.....

26. *The TP community and organizations perceive the social outcomes of the proposed adaptive measures:*
 Positive
 Negative
 Neither positive nor negative

27. *In respect of the social impacts and concerns, is there a need to undertake an additional impact assessment study?*

Yes No

This form completed by (Name of NGO official):

Signature:

Date:

***Attachment A3: TERMS OF REFERENCE (TOR) OF PROGRAM OFFICER
(TRAINING AND COMMUNITY/SOCIAL DEVELOPMENT)***

Background: Climate change is a central development challenge for Bangladesh. The Government of Bangladesh prepared the Bangladesh Climate Change Strategy Action Plan (BCCSAP) in 2009. The preparation of the Strategy underwent extensive consultation with stakeholders including government, sector ministries, academia, civil society representatives, and development partners (DP). A multi-donor trust fund entitled “Bangladesh Climate Change Resilience Fund (BCCRF)” was established for implementing the BCCSAP. The BCCRF will be managed and implemented by the Government of Bangladesh through the Ministry of Environment and Forests (MOEF). The BCCRF was designed to have **two windows**: an on-budget window for funding public sector projects; and, an off-budget window for funding projects from NGO and the private sector. To support the off-budget window, MOEF identified Palli Karma-Sahayak Foundation (PKSF) as the preferred institution for implementing the Community Climate Change Project (CCCP). PKSF will be responsible for the call for proposals, review, monitoring, supervision, and compliance with fiduciary requirements.

The CCCP is a funding mechanism that will finance community based adaptation sub-projects. The possible sub-project activities are community-based adaptations focusing on food security, social protection and health, comprehensive disaster management, infrastructure, knowledge management etc. from the NGOs. Adaptation to climate change pertains to the adjustment of peoples’ lives and livelihoods to changing climate scenarios in the short, medium and long-term timeframes. Community adaptation mechanisms would need to address changes to physical and ecosystems functions and socio-economic dimensions, be locally driven, and also capture the emerging opportunities from climate change. Similarly, enhancing the capacity to make community-based climate resilient planning would require developing necessary planning tools and addressing the present knowledge gap areas through policy/applied research.

The technical criteria for the selection of proposals will be developed based with both global and sectoral criteria including adaptation of communities, ecosystems, and enterprises. The key focus will be that the proposals are: (1) Community-based and community-driven with local partnership; (2) Connected with local development or risk reduction plans and programs; (3) Focused on adaptation to climate change and long-term sustainability; and (4) Globally, sectorally, and intellectually rigorous with the proper tools developed to ensure that the project is truly an adaptation project addressing climate change risk.

Social Safeguard Issues: It is expected that NGOs could propose a variety of community-based climate change adaptation measures those are likely to vary from one climate vulnerable zone to another and even within the same zone depending on the climate change issues being addressed. PKSF is expected to finance only those adaptation proposals that do not include any land acquisition and involuntary resettlement. But there is possibilities that subgrant proposals may include land-based activities those will result in immensely beneficial impacts. The proposals may also cover such areas where tribal peoples (TPs) are living even in small proportion. Applicability of the social safeguards policies will depend upon the specific activities proposed

for adaptation and the communities they involve in the different climate vulnerable zones. PKSF will monitor the social screening and implementation of mitigation measures in all subprojects from concept to implementation while an independent review and evaluation will be commissioned for each subproject and the overall CCCP.

PKSF will follow certain guiding principles to engage the appropriate NGOs, be responsible to invite and review adaptation proposals, and supervise and monitor implementation of those accepted for financing. In the process, NGOs and PKSF will ensure, among other requirements, that the proposals are prepared and implemented in compliance with social safeguard requirements.

PKSF has developed a Social Management Framework (SMF) as guide to identify and assess the potential social impacts under different subgrant proposals, and prepare and implement Social Management Plan (SMP) for each subproject (implementation of the subgrant) to ensure community participation, social inclusion and to mitigate the adverse social impacts including voluntary donation/contribution of lands and impacts on tribal peoples. Each proposal will be screened for social issues following the SMF and in compliance with the applicable Bangladesh laws and the World Bank guidelines on Involuntary Resettlement (OP 4.12) and on Indigenous Peoples (OP 4.10). The principles, guidelines, and procedures provided in this SMF are intended to ensure that adaptation proposals are prepared, screened and implemented to achieve the following objectives:

- Enhance positive social outcomes of the community-based adaptive activities financed under CCCP;
- Ensure participation of the target communities, including women, while identifying the specific measures/activities for adaptation to the climate change impacts;
- Prevent or compensate for loss of livelihood, which may result from land-based adaptation activities and use of common property resources; and
- Ensure compliance with the relevant GOB policies and those of the World Bank on social safeguards and other social issues, including those with gender implications.

Objectives of the Assignment: PKSF will pass through a screening process, implementation supervision and monitoring of the CCCP subprojects to ensure social compliance including social safeguards following the SMF. It will engage a Program Officer on training, community and social development (PO-TCSD) for CCCP. The objective of this assignment will be to assist PKSF for ensuring social safeguard compliance during subgrant implementation.

Scope of Work: The PO_TCSD will be employed in the Project Management Unit (PMU) within PKSF. The PO will assist PMU to ensure socially compliant design and implementation of the subprojects in line with the provisions of the SMF and the relevant national laws. The PO-TCSD will also follow the CCCP Operational Manual and the Monitoring and Evaluation Framework in discharging his/her duties. He/she will review and follow the Bank policies on Involuntary Resettlement (OP 4.12) and Indigenous Peoples (OP 4.10) and operationalize the SMF. The PO will supervise and monitor adaptation activities being implemented by the Project Implementing Partners (PIPs) or NGOs that have received CCCP subgrants.

The PO-TCSD will be responsible to the Project Coordinator (PC), CCCP for duly discharging all project social functions with the assistance of operational program officers (POs) and staff in the section. S/he will assist PC to ensure that all social safeguard related activities are completed on time and to enable the project to meet the deadlines.

Specific Tasks and Responsibilities:

The specific tasks are, but not limited to, the following:

Training and Orientation Sessions for NGOs

- Design social orientation modules on SMF, social screening, community consultation, and preparation and implementation SMPs before the interested NGOs submit subgrant proposals.
- Participate in periodic orientation sessions for eligible NGOs to lead discussion on social screening and community consultation as well as SMF and on preparation and implementation of SMPs.

Screening Subgrant Proposals

- Review the social safeguard screening information to determine applicability of the SMF guidelines, where the proposed subproject or any of its activities require use of public and private lands, and examine how the NGO/PIP has proposed to obtain the lands, and whether or not it is consistent with the relevant SMF guidelines in terms of other social inclusion issues including gender and community participation.
- Ensure that appropriate mitigation measures have been adopted where the subproject adversely affect community members like private landowners, public land users and tribal peoples, and advise the NGO/PIP to prepare SMPs incorporating any additional mitigation measures that are necessary and follow up on their implementation.
- Check whether or not the target communities, including women and tribal peoples (depending on subproject locations), have been consulted about the subproject and selection of the proposed climate change adaptation measures.
- Based on social and gender analysis, as suggested in the guidance note for social inclusion in the SMF, assess whether or not, or the extent to which, the subproject involves activities that directly benefit women and other disadvantaged groups and, if opportunities are there, provide guidance about integration of social inclusion issues into project design in the SMPs.
- Ensure that NGO/PIP collects gender-disaggregated data during project preparation and later (implementation, monitoring and evaluation) and analyze it separately for men and women.

Project Implementation

- Get the local grievance redress focal persons designated by the concerned Union Parishads.
- Prepare the necessary monitoring instruments in view of the adaptation activities that may vary from one subproject to another.
- Follow up on the implementation of the SMPs/impact mitigation measures, if any, adopted for the subproject.
- Identify social inclusion issues that were not addressed in subproject design, but faced during implementation, and suggest appropriate remedial actions in consultation with the communities and PIPs.
- Review the monitoring reports which will be prepared jointly by the PIPs and the communities, and suggest any actions necessary to keep the implementation activities on track.
- Assist PMU review and record the resolved and unresolved complaints/grievances cases.
- Prepare quarterly status reports on social safeguard and inclusion activities proposed and implemented under different subprojects, for review by the World Bank.

Duty Station: The duty station will be Dhaka. However, the position requires extensive field visits to climate risk zones under the project.

Duration: The estimated duration of assignment will be up to 2016 beginning from September 2012. Duration may be increased if the project period is extended or reduced based on the performance

Qualification and Experience: (i) The candidate must have at least a master's degree from a recognized university; (ii) At least 5 years experience in community and social development, training and motivational activities in the rural areas; (iii) Experience with grassroots oriented development projects are an advantage; (iv) Working experience in participatory development, community-based disaster management, and qualitative and quantitative research techniques; (v) Excellent communication skills in oral and written in Bangla and English; (vi) Operating skills on MSWORD, MSEXCEL and electronic data transmission; and (vii) Knowledge in project management.

B. GUIDELINES FOR USING PRIVATE AND PUBLIC LANDS

Land Availability and Resettlement Issues

1. Involuntary resettlement issues are expected to arise where Sub-Grant Proposals (SGPs) include land-based physical infrastructures. But as stipulated, private lands cannot be acquired, and use of public lands will depend on current uses and users. Where the proposed infrastructures are a critical part of the adaptation measure, the NGOs will use the following guidelines to obtain public and private lands.

- Public Lands. Where they are in use by well-off persons and stoppage of further use would be socioeconomically inconsequential, the NGOs and communities may persuade the users to relinquish occupancy of the lands and look for alternative lands, if they refuse. Where these lands are currently used for living and/or livelihood by the poor and vulnerable, the NGOs and beneficiaries can obtain them by offering socioeconomic rehabilitation measures acceptable to the affected persons. The following condition will however apply:

The current users will have the option to refuse to relinquish occupation of the lands without the fear of any adverse consequences.

- Private Land on ‘Voluntary Contribution’. As is often the practice in the rural areas, the concerned members of the community, if persuaded, may elect to contribute the lands without compensation. This method will be followed only for small amount of lands and the project will ensure that,
 - The contributions are voluntary;
 - There are no encumbrances on the contributed lands;
 - The contributions do not affect the livelihood of vulnerable persons and, if it does, the NGO and community devise and implement mitigation measures acceptable to the affected persons;
 - The affected persons/contributors are made aware of the grievance redress mechanism described in the preceding section;
 - The contributors give up all claims on the lands and the titles are transferred to the recipient through the legal process in the country; and
 - The contributions are documented through an MOU (see *Attachment B2*)
- Private Land on ‘Contribution Against Compensation’. Voluntary contributions are seen more feasible where the landowners are well-off and very few in number. Contributions for infrastructures like irrigation and drainage canals, roads, etc, may involve a larger number of landowners -- some of whom might be quite marginal and vulnerable. In such cases, the beneficiary communities can offer this option as an incentive for contribution. The following condition will however apply:

The landowners will have the option to refuse to accept the ‘contribution against compensation’ offer without the fear of any adverse consequences.

2. In cases of voluntary contribution and ‘contribution against compensation’, the NGOs will (i) ensure that landowners and communities are made fully aware of their rights and obligations; (ii) verify that contributions without and against compensation are truly voluntary; and (iii) that the contributors are the legitimate owners of the lands being obtained and there are no outstanding disputes over ownership.

Impact Mitigation Objectives

3. The principles and guidelines provided in this framework are to avoid or minimize adverse impacts on private landowners and public land users, mitigate the impacts that are unavoidable, and assist to improve, or at least restore, their living standards and income earning or production capacity to pre-project levels. To achieve the objectives, NGOs will adhere to the following strategic guidelines.

- Avoid or minimize displacement of persons/households who may have been using public lands for residential and livelihood purposes;
- Establish guidelines and procedures to ensure that private land contributions are voluntary and sought and accepted in transparent manners without causing unacceptable adverse impacts on the owners.
- Collectively decide on community-based impact mitigation measures where private lands are required for critical adaptation measures and adverse impacts are to be shared together by many landowners.

Guiding Principles for Land Availability

4. While preparing their proposals, the NGOs will explore alternatives to avoid or minimize use of private and public lands, especially those that have been under use by poor and vulnerable. In unavoidable cases, they will adhere to the following principles:

- Where lands are absolutely required, NGOs will,
 - Use as much of public lands as possible
 - Completely avoid displacement from private homesteads
 - Avoid or minimize displacement of homesteads from public lands
 - Use lands of lower value in terms of productivity and uses
 - Avoid affecting premises that are used for business/commercial activities
 - Avoid affecting religious sites like places of worship, cemeteries, and buildings/structures that are socially and historically important.
- NGOs will not propose any physical activities in their adaptation proposals which will significantly restrict access of the communities, especially the socioeconomically vulnerable groups, to common property resources that have been a primary source of their livelihood.

Impact Mitigation Principles

5. Where physical activities affect persons/households on public land, or require private land on “contributions against compensation”, NGOs will adhere to the following principles to avoid/minimize adverse impacts and adopt appropriate mitigation measures:

- As a first step toward mitigating adverse impacts, NGOs will always try to avoid adversely affecting persons/households who are socioeconomically vulnerable.
 - Where adverse impacts are absolutely unavoidable, the NGOs will ensure that the beneficiary communities collectively rehabilitate the affected persons / households with measures acceptable to them.
- Where displacement of public land users is unavoidable, NGOs will assist the affected persons/households to relocate on available public lands in the vicinity.
 - NGOs will mobilize the communities to collectively provide financial and material assistance to the affected persons/households to move and rebuild their houses.
 - Where businesses, such as small-scale road-side shops, are displaced, NGOs will mobilize community assistance to relocate them in the vicinity to ensure that they remain operational and do not lose income.
- Where private land is unavailable on voluntary contribution, contribution can only be sought against compensation.

6. Resettlement Action Plan (RAP) will be prepared following the guidelines and principles contained in this SMF in the case that use of private lands or public lands from private uses could not be avoided. The NGOs and communities will implement the RAP once the SGP is accepted for sub-grant and implemented before receiving the sub-grant.

Eligibility for Compensation/Assistance

7. The persons/households affected directly and indirectly by the physical activities under an SGP are eligible for compensation and assistance. The most likely eligible groups are:

- Private Landowners: Persons who have legal rights to the affected lands and other assets, such as houses/structures, trees, etc, built and grown on them.
- Squatters: Persons/households who do not have legal rights to the affected lands, but use them for residential and livelihood purposes constructing structures on the lands.
- Encroachers: Persons/households who do not have legal rights to the affected lands, but use them for agricultural or other productive purpose without any construction.

Compensation/Assistance Principles

8. Depending on an affected person’s preference, NGOs and the beneficiary communities may consider using both financial and material forms of compensation and assistance. NGOs will ensure delivery of the agreed compensation/assistance in a timely and transparent manner. Compensation for the affected assets will be according to the following principles:

- Replacement cost for an equal amount of land of same productive quality.
- Replacement cost of houses/structures at the current prices of same building materials, plus the current cost of labor to build them. Depreciation and value of the salvageable building materials will not be deducted while computing the compensation.
- Current market prices of trees that are to be felled (owners will retain ownership of un-felled trees).
- Other acceptable in-kind compensation.
- Compensation in cash will be made in public.

9. The NGOs, beneficiary communities and the landowners will jointly determine the replacement costs of land based on the most recent transactions made in the same or adjacent localities, in view of the land type, productive quality and accessibility. Current prices of other assets, such as building materials, trees, etc, will be in accord with those in the local markets.

10. NGOs will document the impacts and affected persons/households, mitigation measures agreed with them, and verifiable evidence that the agreed measures have been implemented. The cases of voluntary private land contributions and contributions against compensation will also be documented with appropriate evidence and will remain open to verification by PKSf, World Bank and others interested in the project (Documentation formats for impact assessment and mitigation; contribution of lands and other assets; and a schedule of compensation for using public and private lands are suggested in *Attachments B1, B2 and B3*).

Community Consultation

11. Consultations will be inclusive of all stakeholders and used as a two- way communication strategy to provide information about the project and solicit support and agreements on the mitigations proposed.

12. Community consultation will be a vital part of decision making about all land-based activities in a SGP. In addition to general consultation about the benefits and feasibility of specific physical activity, NGOs will make certain that the users of the required lands (with and without legal rights), are consulted very early in the proposal preparation process. Consultations will focus on the issue of land availability and the conditions under which they could be used for projects. In cases where the would-be affected persons are women, NGOs will arrange culturally appropriate or separate consultations.

13. NGOs will prepare consultations minutes, indicating dates, venues, compensation issues discussed, and the details of the agreements reached. The affected persons will be provided with copies of the minutes signed by the affected persons and the NGOs. Copies of all such signed minutes will be kept by NGOs and will be made available for review by PKSf and the World Bank.

Documentation

14. The NGOs will keep the minutes of community meetings; records of persons / households who may have been displaced from public lands; voluntary contribution and “contribution against compensation” of private lands; and agreements made on compensation and the evidence of compensation payment. NGOs will make them available for review as and when asked for by PKSF and the World Bank.

Attachment B1: IMPACTS ASSESSMENT AND MITIGATION DATA SHEET

[To record information on lands and other assets to be used for subprojects]

1. NGO Name & Address:
2. *Project Title:*
3. *Project Location:*
 Village: Union:
 Upazila: District:
4. *Description of the physical/construction activities that will be implemented under the project:*
5. *Description of lands used for the project:*

6. Public Lands: Total amount used (decimals):

	Squatters	Encroachers	Others (specify)
<i>Number of affected users</i>			

Other assets affected on public lands:

Livelihood impacted of vulnerable persons:

- Private Lands: Total amount used (decimals): Total number of affected landowners:

Other private assets affected:

Livelihood impacted:

7. *How the private lands obtained:*

	Amount	No. of Contributors
Voluntary contribution		
Contribution against compensation		
Other means (Specify:)		

8. <i>Compensation payment</i>	No. of persons paid	Total amount paid (Tk)
Contributors against compensation		
Squatters		
Others (specify)		

9. **Documentation:** Types of evidence of voluntary contribution obtained:

Signed MOU witnessed by community members

Others (specify)

This form filled in by (Name):

Signature:

Date:

Attachment B2: FORMAT TO DOCUMENT CONTRIBUTION OF ASSETS

NGO Name & Address:

Project Title and Location:

The following agreement has been made on (Day-Month-Year) between (the Owner(s), resident of and the NGO (Recipient).

1. That the Owner(s) holds the legal right to the land (Dag No., Khatian No., Mouza, etc) and other assets situated on it.
2. That the Owner(s) hereby voluntarily contributes to the Recipient portion (in decimal) of this asset for the construction of (infrastructure name) for the benefit of the villagers and the public at large. There are no vulnerable groups losing livelihood as a result of this contribution of land, nor are there any other encumbrances on the land.

Either, in case of Voluntary Contribution:

3. That the Owner(s) will not claim any compensation against the contribution of this asset.

Or, in case of Contribution Against Compensation:

4. That the Owner(s) will receive compensation against the contribution of this land and other assets as per the attached Schedule.
5. That the Recipient agrees to accept this grant of assets for the purposes mentioned above.
6. That the Recipient shall construct and develop the (infrastructure name) and take all possible precautions to avoid damage to adjacent land/structure/other assets.
7. That both the parties agree that the (infrastructure name) so constructed/developed on the land shall be public premises.
8. That the provisions of this agreement will come into force from the date of signing of this document.
9. That the owner gives up all claims to the land and the title of the land will be transferred to the recipient through the existing legal process in the country.

.....
Signature of the Owner(s)

.....
Signature of the Recipient

Witnesses (Name, signature, father's/husband's name, and address):

1.
2.

Attachment B3: SCHEDULE OF COMPENSATION FOR PRIVATE AND PUBLIC LANDS

[For each person who has made ‘contribution against compensation’ and squatter and encroacher who has been paid compensation or assisted in any other form]

1. NGO Name & Address:
.....
2. Project Title and Location:
.....
3. Name of Compensation Recipient:
Father’s/Husband’s Name:
4. Compensation for: [] Contribution of land against compensation
 [] Displacement from public land (squatter/encroacher)
5. Compensation Schedule

<i>Affected Items</i>	<i>Amount/units Compensated for</i>	<i>Agreed Compensation</i>
Land (in decimals)		
Houses/structures (Floor area in sft):		
<i>Structure type</i> (bamboo, mud, brick, etc.):		
Trees (Number)		
Others (Specify):		
Total Agreed Compensation:		

Agreed compensation in words:

Agreed Compensation Paid:

Agreed Compensation Received:

.....
Name & Signature of NGO Official

.....
Signature of Recipient
(Contributor/Squatter/Encroacher)

Date:

Date:

C. GUIDELINES FOR TRIBAL PEOPLES PLAN

1. Although the Chittagong Hill Tracts (CHT), which has the largest concentration of the country's indigenous population, is not covered by CCCP, they live in almost all of the plains districts, most notably in those in the north-west, north-eastern and the coastal regions of Cox's Bazaar and greater Barisal. The following guidelines for Tribal Peoples Plan (TPP) will apply where NGOs propose community-based climate change adaptive measures in areas/localities inhabited by tribal peoples (TPs).

Objectives of Tribal Peoples Plan

2. The main TPP objectives are to ensure that adaptation activities, including physical, proposed by NGOs for CCCP funding do not adversely affect TPs, and that they are culturally compatible and do not threaten their traditional way of life. This will require NGOs to determine whether proposals would include TP who may live as separate communities or parts of the mainstream communities. Depending on their presence in the project area and their needs and concerns, NGOs will prepare their proposals with the following strategic objectives:

- Select adaptation measures and determine their scopes to avoid or minimize, to the extent feasible, adverse impacts on TPs.
- Where adverse impacts on TPs are unavoidable, adopt and implement socially and culturally appropriate measures to mitigate them.
- Wherever possible, adopt measures – in addition to those for impact mitigation – to reinforce and promote any available opportunities for socioeconomic development of the TP communities.

Identifying the Tribal Peoples

3. Although the TPs of Bangladesh are well recognized locally, NGOs will examine the following characteristics to make formal identification:

- Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- Collective attachment to geographically distinct habitats or ancestral territories in the subproject area and to the natural resources in these habitats and territories;
- Customary cultural, economic, social or political institutions that are separate from those of the dominant society and culture; and
- An indigenous language, often different from the official language of the country or region.

TPP Basic Principles

4. To avoid or minimize adverse impacts and, at the same time, ensure benefits for TPs, NGOs will use the following principles in the selection, design and implementation of particular climate change adaptation measures:

- Ensure that TP communities in general and their organizations, if any, are fully included in the process leading to selection, design and implementation of the adaptation measures.
- Together with TPs, screen the adaptation measures for a preliminary understanding of the nature and magnitude of potential impacts and, if necessary, explore alternatives to avoid or minimize the adverse ones.
- Where alternatives are infeasible and adverse impacts are unavoidable, NGOs, together with TPs and others knowledgeable of TP culture and concerns, will immediately make an assessment of the key impact issues.
- NGOs will undertake the tasks necessary to adopt appropriate mitigation measures. The most important in this respect is intensive consultation with the TP communities, community elders/leaders, and formal and informal TP organizations, civil society organizations like NGOs, and others who are interested in and have knowledge of TP issues.

Consultation will include the objectives and scope of the proposed adaptation measures; the likely key adverse impacts on and benefits for TP; TPs' own perception of the impacts and feedback; and a preliminary assessment of economic opportunities which PKSF/NGOs could promote – in addition to mitigating the adverse impacts.

Identifying TP Social Concerns

5. Impacts on TPs will vary in terms of adaptation measures and their scopes, presence and size of TP population in the area, and the magnitude of potential adverse impacts and social risks. To the extent applicable for particular adaptation measures, information on the cultural and socioeconomic characteristics, and potential vulnerability will be used to identify the TP social concerns and adopt alternative mitigation measures (major issues and indicators suggested in *Attachment C1*).

Impact Mitigation

6. *To use public and private lands and to avoid or minimize adverse impacts on TPs, PKSF/NGOs will apply the same guidelines proposed in Section B. Eligibility and standards for compensation will also be according to those proposed in the same section.*

TP Consultation Strategy

7. That free, prior and informed consultations will be held, and as required for informed consultations, NGOs will provide TPs with all information related to the probable adaptation measures, including that on potential adverse impacts. To facilitate consultations NGOs will,

- Prepare a time-table for TP consultations leading to selection, design and implementation of the adaptation measures, and consult them in manners so that they can express their views and preferences freely.
- In addition to the communities in general, consult TP organizations, community elders/leaders and others with adequate gender and generational representation; and civil society organizations like NGOs and groups knowledgeable of TP issues.

8. In addition to the choice of alternative adaptation measures, consultations will concentrate on the adverse impacts, if any, perceived by the TPs and the probable (and feasible) mitigation measures, as well as exploring additional development activities that could be promoted under the sub-grant. This will provide the inputs necessary to prepare and implement a Tribal Peoples Plans for a subproject in an area/locality inhabited tribal peoples. NGOs will keep minutes of these consultation meetings and make them available for review by the World Bank and other interested groups and persons.

Attachment C1: MAJOR IMPACT AREAS AND INDICATORS

The following major impact areas and indicators are suggested for assessment of TP concerns and social risks.

Cultural Characteristics

- Relationships with areas where they live -- relating to religious/cultural affinity with the ancestral lands, existence of livelihood opportunities, etc.
- Presence of customary social and political organizations – characteristics indicating internal organization and cohesion of the communities, and their interaction with those of the non-indigenous population.
- Interactions and relationships with other indigenous peoples' groups in the same and other areas.
- Presence of TP organizations, like NGOs and CBOs, working with TP development issues, and their relationship with mainstream organizations engaged in community development activities.
- Identification of any cultural aspects that are likely to be affected or made vulnerable because of the proposed adaptation activities.

Settlement Pattern

- The extent to which the tribal settlements are physically separated from those of the non-indigenous peoples, indicating interactions and mutual tolerance between the groups.
- Characteristics indicating physical organization of homesteads, and the existing community facilities, such as schools, water supply, etc.
- Present distance between the settlements and the proposed physical/construction activity in the SGP.

Economic Characteristics

- Prevailing land tenure -- indicating legal ownership and other arrangements that allow them to reside in and/or cultivate the lands in their areas.
- Access to common property resources -- prevailing conditions under which they may have been using natural resources like forests, water bodies, and others that are considered important sources of livelihood.
- Occupational structure -- indicating relative importance of household's present economic activities, and the extent to which they might be affected or benefited because of the proposed adaptation measures.
- Level of market participation -- engagement in activities that produce marketable goods and services, and how and to what extent market participation would be affected or enhanced.

D. GUIDANCE NOTES FOR INTEGRATING SOCIAL AND GENDER ISSUES

Social and Gender Issues and their Implications

1. Changes in climate affect all, but not everyone everywhere equally. People living in the low-lying coastal and delta regions, such as south-western Bangladesh, are particularly exposed to coastal erosion and land loss, inundation and flooding, and saline contamination of fresh water sources. People living in other agro-ecological zones are affected differently by the climate changes. Geographic location is however not the only determinant of the extent and severity of climate change vulnerability⁴. More than any other factor, poverty determines vulnerability to climate change and limits the adaptive capacity⁵ of individuals and communities. Caused by inequalities in resources, capabilities and opportunities, the communities are made particularly disadvantaged to cope with and recover from climate change shocks or changes.

2. Of all, climate change affects women more severely than men. Globally, it is largely the role of women to provide food, fuel, water, and the care that the family needs – all of which they do in addition to often earning some cash income. It is widely observed that climate changes cause a disproportionate burden on women, because they are more reliant on natural resources that are more climate-sensitive and have fewer physical (land and other assets) and financial resources, and have very limited access to markets. Women are most often made least powerful because of the social and cultural norms that limit their mobility and participation in decision making. To add to all this, they are often less educated, have less access to information and fewer or no opportunities for learning anything new.

3. But it is widely recommended that active involvement of women in environmental decision making and integration of gender concerns and perspectives in policies and programs would be a significant positive step toward achieving sustainable development. And that policies and programs for adaptation and mitigation must take gender differences into account to understand how women have been and would be affected by climate change. This would be crucial to formulate gender-differentiated strategies for capacity building of women to respond to the climate change impacts that are associated with the gender-specific roles and responsibilities.

⁴ Vulnerability indicates the reduced ability of individuals to cope with climate change impacts caused by a variety of factors like inequalities in resources, capabilities, and opportunities that disadvantage certain groups of people and reduce their ability to cope with and recover from a shock or change.

⁵ Adaptive capacity is the potential of individuals, communities and societies to be actively involved in the processes of change, in order to minimize negative impacts and maximize any benefits from changes in the climate. This potential is undermined by poverty and inequality, and point to the wider socioeconomic factors that influence how households and communities manage risks on a daily basis, and relates to the successes and failures of development and poverty reduction efforts.

4. To make the adaptation measures truly community-based and inclusive, NGOs/PKSF will explicitly take into account social and gender concerns into proposal preparation, review and implementation. In this regard, extensive community consultations would be a key to understanding how the different community groups (in terms of socioeconomic characteristics, gender differentiation, ethnicity and other relevant attributes), perceive of climate change impacts, how they cope with the changes that have been underway, and what measures -- according to their experience -- would be more effective to adapt to the changing conditions.

Integrating Social and Gender Issues

5. To ensure that adaptation measures are socially inclusive, irrespective of geographical location, NGOs will,

- Prepare the sub-grant proposals in view of the existing and emerging socioeconomic and gender issues and concerns that may have resulted, or likely to result, from the climate changes
- Identify the key factors that have caused or would cause variations in climate change impacts among the members of the target communities, in terms of geographical location and socioeconomic characteristics, and between men and women
- Identify and implement the adaptation measures that would effectively address the social and gender issues, with a focus on equity in the distribution of adaptation benefits
- In addition to those for the communities at large, assess feasibility of alternative measures that would help women to cope with and adapt to the climate change impacts
- Identify the key stakeholders, including women, who could be mobilized to create a community-level institutional structure consisting of men and women that would monitor climate change impacts on a continuing basis and seek assistance for adaptation from PKSF (and any NGOs working in the area) after implementation of the current subproject

Social and Gender Analysis

6. The objective is to identify the differences and provide evidence for gender roles, activities, needs and available opportunities for men and women. This will provide the information necessary for effective integration of gender issues into the adaptation measures and will be a key to promoting social inclusion. While preparing sub-grant proposals, NGOs will undertake an assessment of the target communities to gather gender-disaggregated views and preferences of the different stakeholder groups, including women, in order to improve project design and establish a participatory process for implementation and monitoring. This will require analyzing the existing conditions that indicate vulnerability of the different community groups; their capacity to cope with and/or adapt to the climate changes; and their ability to share in the benefits of the probable adaptation measures. Analysis may include, but not limited to, the following information:

- Project location, describing physical characteristics (topography and other features) of the targeted settlements that may cause variations in climate change impacts within a given climate change vulnerable zone
- Community profile, indicating population size, ethnicity, education, major economic activities, formal/informal institutions and rules and behavior, and the scope of strengthening them to assume ownership of the project, and other aspects that may indicate effectiveness of the proposed adaptation measures under consideration
- Vulnerability to climate change, indicating equity/inequity in access to and control over land and other resources of different community groups, such as landless, women, ethnic minorities and the like
- Occupational groups among landless persons/households, including women
- Existence of common property resources like rivers and other water bodies, forests, etc that are used by the poor in general, and women in particular
- Existing and potential gender issues and concerns related to the roles women play in the household and how they cope with the changes, as well as feedback on alternatives that would lessen their burden (consultations/focus group discussions as suggested in Section A may generate inputs for appropriate adaptation measures)
- Assess how women could be integrated into the decision-making process involving project screening, preparation and implementation

Social and Gender Actions in Project Cycle

7. As an effective way to integrate social and gender issues, the NGOs will prepare Social Inclusion Plans (SIP) for subprojects and include them in the SGPs for sub-grant request. In addition to social safeguards compliance, NGOs will implement the SIPs to undertake the following activities at different stages in the project cycle:

Stage I: Project Proposal

- Collect baseline information on key social and gender issues prevailing in the communities targeted under the project, and make an assessment of how the project would impact on women and different socioeconomic groups. (All information and analyses must be gender-disaggregated.)
- Identify goals and priorities, in consultation with the communities/stakeholders, that are socially inclusive and would foster community ownership of the project
- Make a preliminary assessment of community capacity in terms of formal/informal institutions/groups, including CBOs/NGOs, as well as women who could actively participate in project preparation, implementation and monitoring
- Ensure that social inclusion is integrated into the project goals and objectives, and set targets that are measurable
- Set up a monitoring and evaluation system, and select key indicators that would inform of progress and effectiveness of the adaptation activities designed to foster social inclusion

- Organize reporting and feedback processes, identifying who will collect and analyze information, and who will use it and how it will be used to guide project implementation.

Stage II: Project Implementation

- Carry out capacity development exercises for integrating social and gender issues, and for monitoring and evaluating the social inclusion aspects included in project design
- Collect gender-disaggregated data on the indicators selected for social inclusion targets for the period under evaluation, and feed results into the system to allow any needed corrections
- Identify any gender and other issues, that were not addressed in project design, but faced during implementation, and adopt and implement appropriate remedial actions in consultation with the communities and other stakeholders

Stage III: Implementation Completion

- Assess outcomes and impacts of integration of social and gender issues in the overall project context
- Assess outcomes and impacts of the project on men and women, and more specifically on the social inclusion aspects and targets set during project design
- Derive and share lessons that can be fed into the overall CCCP goals and objectives

Monitoring Social Inclusion

8. Monitoring of social inclusion in project process will start from the concept stage and intensified once the project goes into implementation. Monitoring will be in line with the social and gender analysis and consists of the activities/issues that have been integrated into project design. It will essentially be ensured that the project in question does not reduce one gender's vulnerability to climate change at the expense of the other gender. Any unforeseen problems/issues missed in gender analysis will be identified so that necessary adjustments could be made during project implementation.

9. The information gathered during monitoring will provide the essential inputs for evaluation and impact assessment of the individual projects. Social and gender analysis in the planning stage will enable an evaluation to critically appraise how well the project has met its defined goals and objectives⁶. Depending on the project contents and objectives, evaluation should take into account, among other relevant aspects, the following points:

- Whether or not or the extent to which the project addressed specific adaptation needs of men and women, and how they have been incorporated into project design

⁶ Where project preparation did not include gender analysis, it is still possible and appropriate to use gender-disaggregated data (collected during monitoring and evaluation) and evaluation can highlight how planned interventions have affected the adaptive capacity of men and women.

- The extent to which local knowledge and inputs improved the project results, citing examples where project activities/adaptation measures that used them
- The extent to which the project has brought about adaptation and reduced vulnerability to climate change for men and women
- Whether or not the project had any unexpected or unintentional gender effects
- An account of the lessons learned and good practices which can help mainstreaming gender in all community-based climate change adaptation projects under CCCP.