



# Social and Environmental Safeguard **OPERATIONAL MANUAL**

**Gender-responsive Coastal Adaptation (GCA) Project  
UNDP, Bangladesh**



**Enhancing Adaptive Capacities of Coastal Communities,  
Especially Women, to Cope with Climate Change Induced Salinity**

The field staffs who are engaged in implementation of the project including staffs from DWA, DPHE, RP-NGOs, contractors/sub-contractors, consultants and outsourced organizations will be the main user of this operational manual.

# CONTENTS

Executive Summary.....	4
1. Project Description.....	5
2. Purpose of this Operation Manual (OM) .....	6
3. Process and Steps for Preparation of OM.....	7
4. Overview of Social and Environmental Context .....	8
4.1. Social Dimensions .....	8
4.2. Environmental Dimensions.....	9
4.3. Categorization of Project Activities.....	9
4.4. Categorical Exclusions and Threshold Decision .....	18
5. Social and Environmental Assessment and Management of Project Activities.....	19
5.1. Process and Steps of Monitoring .....	20
5.2. Implementation of Mitigation Measures.....	21
5.2.1. Processes and Steps of Implementation.....	22
5.2.2. Role and Responsibilities of Field Staffs.....	23
5.2.3. Issuance of Safeguard Advisory Notes .....	24
5.2.4. Issuance of Safeguard Observation Notes .....	25
6. Free, Prior and Informed Consent (FPIC) .....	25
6.1. What is Free, Prior and Informed Consent? .....	25
6.2. Why It is Required in the GCA Project .....	25
6.3. Process and Steps of Obtaining FPIC.....	26
7. Grievance Redress Mechanism (GRM) .....	26
7.1. Registering and Resolving Grievances .....	26
7.2. Which Complaints Can be Taken into Account? .....	27
7.3. Procedures of Filing and Handling Complaints .....	27
7.4. Grievance Filing Procedures.....	27
7.5. What Information is Needed with the Complaint?.....	28
7.6. Registering a Complaint .....	28
7.7. Process and Steps of Implementation .....	28
7.8. ToR of GRCs.....	29
7.9. Coordination and Documentation .....	29
7.10. Cautions and Way Forward.....	29

8.	Implementation of Indigenous People Plan (IPP) .....	31
8.1.	Process and Steps of Implementation .....	31
9.	Capacity Development .....	31
9.1.	Provide Capacity Support to Field Staffs.....	31
9.2.	Provide Capacity Support to Community Groups .....	32
9.3.	Provide Awareness for Contractors/Vendors .....	32
10.	Monitoring .....	32
10.1.	Monitoring the Process.....	32
10.2.	Monitoring the Compliance .....	32
10.3.	Updating Project Risk-log.....	33
11.	Reporting.....	33
12.	Annexures .....	34
	Annex – I .....	35
	Annex – II .....	39
	Annex – III .....	43
	Annex – IV .....	45
	Annex – V .....	46
	Annex – VI .....	47
	Annex – VII .....	48

## LIST OF FIGURES

FIGURE 1: THE MAP OF THE PROJECT INTERVENTION AREA	5
FIGURE 2: OVERVIEW OF KEY ELEMENTS	6
FIGURE 3: PROCESS AND STEPS FOR PREPARATION OF OM	8
FIGURE 4: MONITORING PROCESS FOR COMPLIANCE MONITORING FORMS	20
FIGURE 5: ASSESSMENT PROCESS FOR ISEE FORMS	21
FIGURE 6: IMPLEMENTATION STEPS & PROCESSES	22
FIGURE 7: IMPLEMENTATION OF MITIGATION PLAN	24
FIGURE 8: GRIEVANCE HANDLING PROCEDURE	30

## LIST OF ABBREVIATIONS

BRAC	- Bangladesh Rural Advancement Committee
CNRS	- Centre for Natural Resource Studies
DMC	- Disaster Management Committee
DoE	- Department of Environment
DPHE	- Department of Public Health Engineering
DSK	- Dushtha Shasthya Kendra
DWA	- Department of Women Affairs
EA	- Environmental Assessment
ECA	- Ecological Critical Area
ECA 1995	- Environmental Conservation Act 1995
ECC	- Environmental Clearance Certificate
ECR	- Environmental Conservation Rules 1997
EIA	- Environmental Impact Assessment
EMP	- Environmental Management Plan
ER	- Environmental Review
ES	- Environmental Screening
ESA	- Environmentally Sensitive Area
ESMF	- Environmental and Social Management Framework
GBV	- Gender Based Violence
GCA	- Gender-responsive Coastal Adaptation
GCF	- Green Climate Fund
GoB	- Government of Bangladesh
GRM	- Grievance Redress Mechanism
IEE	- Initial Environmental Examination
ISEE	- Initial Social and Environmental Examination
IPPF	- Indigenous Peoples Planning Framework
IPP	- Indigenous Peoples Plan
LSEE	- Limited Social and Environmental Examination
MoEFCC	- Ministry of Environment, Forest and Climate Change
MoWCA	- Ministry of Women and Children Affairs
NEMAP	- National Environmental Management Action Plan
RP-NGO	- Responsible Party NGO
OM	- Operational Manual
O&M	- Operation and Maintenance
PAP	- Project Affected Peoples
PbUFS	- Pond-based Ultra Filtration System
RWHS	- Rain Water Harvesting System
RAP	- Resettlement Action Plan
SESP	- UNDP's Social and Environmental Screening Procedure
SPC	- Sub-Project Committee
UDMC	- Union Disaster Management Committee
UNDP	- United Nations Development Program
UzDMC	- Upazila Disaster Management Committee
WLG	- Women Livelihood Group
WUG	- Water User Group



## EXECUTIVE SUMMARY

Social and environmental safeguard is mandatory and shall be integrated systematically into the field operation of GCF-MoWCA-UNDP supported project titled, “Enhancing adaptive capacities of coastal communities, especially women, to cope with climate change induced salinity” popularly known as Gender-responsive Coastal Adaptation (GCA) project. The Government of Bangladesh (GOB) regulations, GCF Environmental and Social Policy and UNDP Social and Environmental Standards are the key guiding tools for social and environmental safeguard in the GCA project.

The United Nations Development Programme (UNDP) has developed the Environmental and Social Management Framework (ESMF) in support of the project proposal. As the UNDP, in its role as an Accredited Entity for the Green Climate Fund (GCF), supports this project, it has been screened against the UNDP’s Social and Environmental Screening Procedure (SESP) and deemed a Moderate Risk (GCF/World Bank/International Finance Corporation Category B) project. This Operational Manual (OM) is prepared for the implementation of ESMF and provides users with a guide to the social and environmental safeguard procedures. The OM will identify the potential adverse social and environmental risks and impacts encompassing all activities outlined in the project document and local innovative solutions will be identified and prioritized by the community groups under the outputs of the project. It will categorize the activities/schemes and discuss the process and steps to be followed, at the field level, to safeguard each activity.

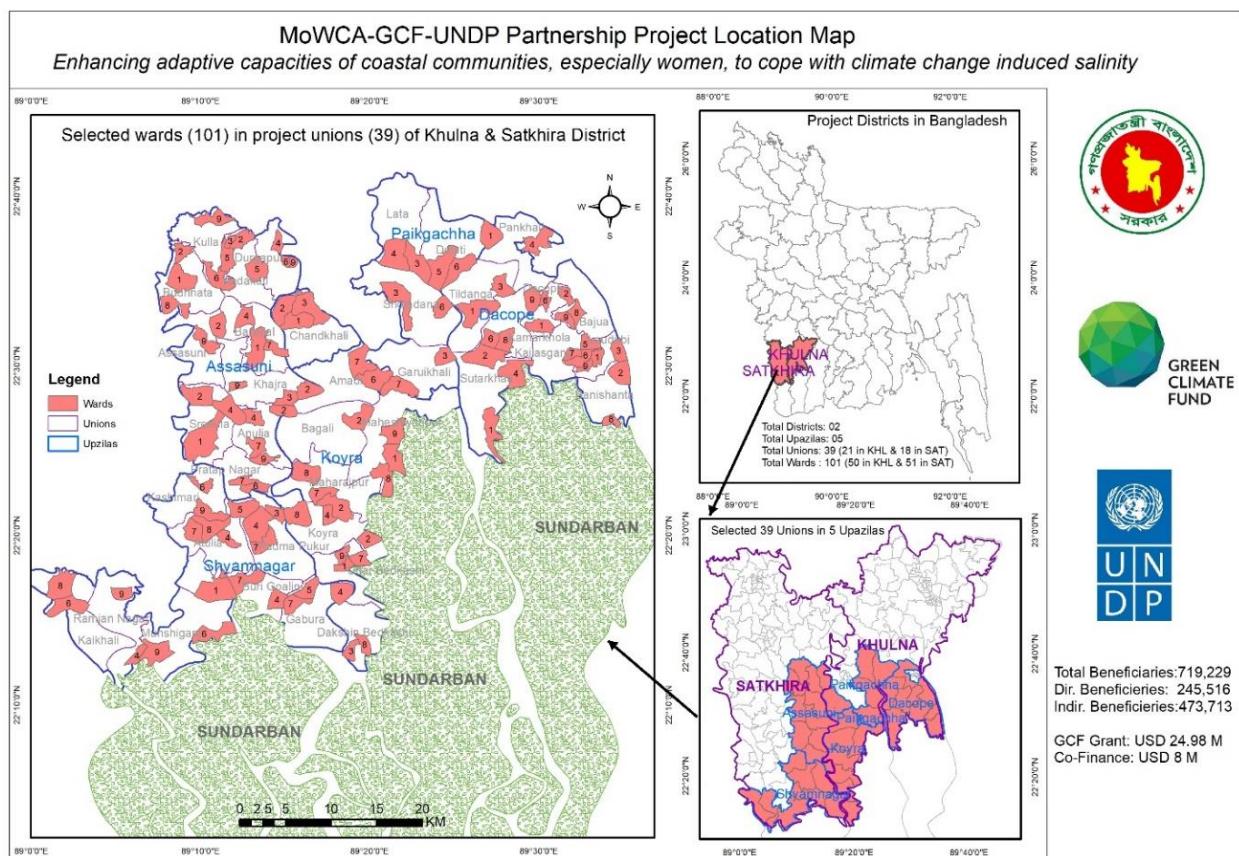
The field staffs who will be engaged in the implementation of the activities/schemes including staffs from DWA, DPHE, RP-NGOs, contractors/sub-contractors, consultants, and outsourced organizations will be the user of the operational manual. This manual will provide direction and information to the field level employees of RP-NGOs and implementing agencies to address environmental and social issues during facilitation to the local communities in making the decision with respect to the implementation of project activities/schemes under resilient livelihood and potable water solutions.

This manual is divided into thirteen chapters; all chapters are relevant to the procedures of environmental and social compliance monitoring and management of the risks. Overall, from the document the users will find:

- description of the potential social and environmental risks and implications of the activities/schemes which would be implemented;
- detailed discussion on social and environmental compliance monitoring procedures for each category of activities/schemes;
- prescription to avoid, minimize and mitigate social and environmental risks;
- outline the process and steps and responsibilities for compliance monitoring and risk management;
- guideline for monitoring and reporting on safeguard arrangement and progress; and
- prescribed compliance monitoring form for each activity/scheme included in Annexures

# 1. PROJECT DESCRIPTION

“Enhancing adaptive capacities of coastal communities, especially women, to cope with climate change induced salinity” is popularly known as Gender-responsive Coastal Adaptation (GCA) project. GCF resources will be combined with GoB co-financing to address information, technical, financial and institutional barriers to implementing and managing resilient livelihoods and drinking water solutions for the vulnerable communities in the Southwestern coastal districts of Khulna and Satkhira. An estimated 719,229 people (about 245,516 direct and 473,713 indirect) will benefit from the proposed project interventions. The project offers support to women and adolescent girls, providing skills training and assets for a selection of fisheries and agriculture-based climate- resilient livelihoods, and market linkages for these livelihood options. The project is also going to provide potable water solutions to a selection of the most salinity-affected wards within the 2 districts through Rainwater Harvesting System (RWHS) at the institutional, community and household levels and pond-based system with filtration treatment



systems at the community level. The project aims for gender-transformative results regarding women’s access to resources and decision-making process and supports women in taking the lead in building community adaptive capacity. Finally, the project is going to strengthen institutional capacities, knowledge and learning on the climate-risk informed management of livelihoods and drinking water security.

The Ministry of Women and Children’s Affairs (MoWCA) is leading to implement this project, with technical support on the livelihood component by the Department of Women Affairs (DWA) and water

provision interventions by the Department of Public Health and Engineering (DPHE) and hired non-government organizations as responsible parties (RP). The project is funded by GoB and Green Climate Fund (GCF) to support an estimated 719,229 people (about 245,516 direct and 473,713 indirect) in 39 Unions (18 in Satkhira and 21 in Khulna) of the coastal region of Bangladesh. These unions were chosen based on the level of exposure to salinity, including projected salinization, and the percentage of extreme and ultra-poor populations who are most vulnerable to negative climate change impacts.

Overall, the project will directly benefit 25,425 HHs to switch or phase in adaptive livelihoods, and 30,934 HHs through RWHS at the institutional, community and household levels as well as installation of additional pond-based systems with filtration treatment systems at the community level. The environmental and social safeguard objectives of this project are to:

- provide the assets and skills required to pursue climate-resilient livelihoods with respecting and promoting the integrity of ecosystems and avoiding maladaptation;
- provide potable water solutions to the most vulnerable people to reduce the impacts on natural systems (ground water aquifers) that are currently stressed;
- encourage gender-sensitive and climate-resilient environmental and social management practices through planning, commitment and continuous improvement of environmental and social practices;
- minimize and prevent the pollution of land, air and water;
- protect native flora, fauna and important ecosystems and raise awareness of the environmental sensitivity of the Sundarbans Protected Area, the mangrove ecosystem and the importance of managing wild stocks.

## 2. PURPOSE OF THIS OPERATION MANUAL (OM)

Social and environmental sustainability is fundamental to the achievement of development outcomes and has been highly prioritized in this project. To ensure the environmental and social objectives of the project, project implementers are going to follow the ESMF to structure and control the environmental and social management safeguards that are required to avoid or mitigate adverse effects on the environment and communities. The OM is a tool that is developed to ensure that adverse social and environmental risks and impacts are avoided, minimized, and mitigated as well as enhancing positive social and environmental opportunities and benefits. This OM is comprised with several elements: Overarching Policy and Principles, Project-Level Standards, and the Policy Delivery Process. An overview of the key elements of this is presented in Figure 2.

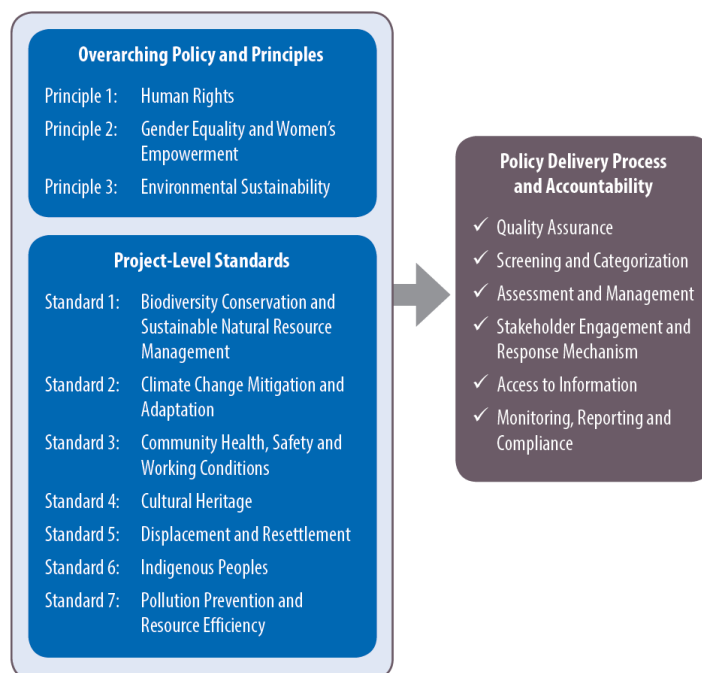


FIGURE 2: OVERVIEW OF KEY ELEMENTS



Social and environmental safeguard are mandatory and shall be integrated systematically into the implementation of activities of GCA project. The OM will identify the potential adverse social and environmental risks and impacts encompassing all activities outlined in the project document and provide guidance from screening to implementation of mitigation measures and compliance monitoring and reporting. It will categorize the activities/schemes and discuss what the processes and steps will require at the field level to ensure safeguarding. The OM is prepared for the implementation of ESMF of the project and provides users a field guide consistent with GoB Environmental Conservation Rules (1997, updated in 2002 and 2003), GCF Environmental and Social Policy (2018) and UNDP Social and Environmental Standards (2019). The specific objectives of this OM are:

- a. avoiding adverse impacts of project interventions on people and the environment; minimize, mitigate, and manage adverse impacts where avoidance is not possible;
- b. strengthening stakeholder's capacities for managing social and environmental risks;
- c. ensuring full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people;
- d. ensuring all implementing parties have a common understanding and uniform safeguard arrangement and tools;
- e. providing guidelines about the process and steps defining the role and responsibilities of field staffs (screening, assessment and management);
- f. complying with GoB regulations, GCF Environmental and Social Policy and UNDP Social and Environmental Standards; and
- g. implementing the project ESMF.

The field staffs of RP-NGOs, implementing agencies (DWA, DPHE), contractors/sub-contractors, consultants, outsourced organizations and community groups are the main user of this OM

### **3. PROCESS AND STEPS FOR PREPARATION OF OM**

The Safeguard Team initially developed the structure of the document by following ESMF and in consistent with GoB, GCF and UNDP rules, policy and standards. Then they consulted with stakeholders in all working upazilas, targeting different contexts and types of activity/scheme areas, to capture social and environmental dimensions and identify the potential risks and mitigation measures. The draft OM was shared among different thematic teams and incorporated their feedback. Then the team organized a 'training' for and with the RP-NGOs and representatives from implementing agencies to provide capacity support to the field staffs as well as finalize the document incorporating their ground level experience. The risks and mitigation measures will be updated annually and the OM also be updated accordingly. The process and steps are summarized below:

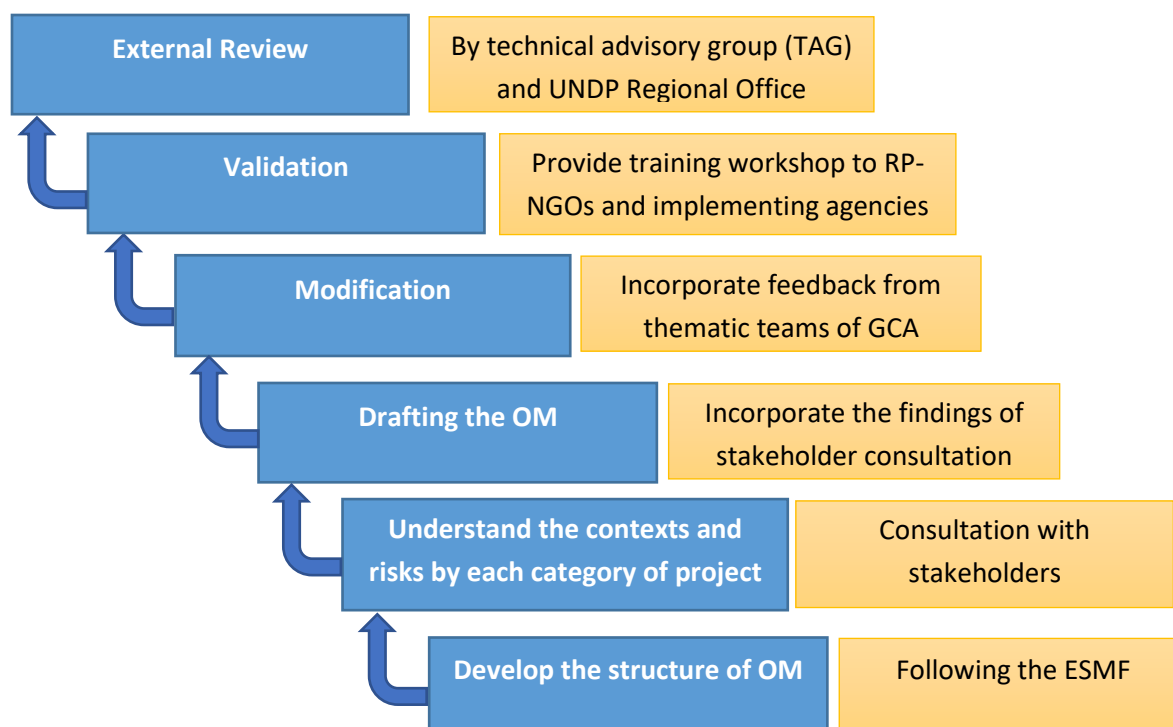


FIGURE 3: PROCESS AND STEPS FOR PREPARATION OF OM

## 4. OVERVIEW OF SOCIAL AND ENVIRONMENTAL CONTEXT

As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards Procedure (SESP 2016) and deemed as a moderate risk (GCF category B) project. The Project's design has avoided high-risk environmental and social impacts, and siting of all project interventions are outside environmentally sensitive areas has reduced the potential risks. The cultivation of non-invasive, non-carnivorous local species will be chosen for aqua-geoponics, for crab farming only existing shrimp farms in brackish water-inundated tidal zones will be used and for agricultural livelihoods organic methods and IPM will be introduced. There is also limited potential for soil, surface water and groundwater impacts; however, these can be mitigated through appropriate management measures during implementation. Appropriate and relevant avoidance and mitigation options have been proposed in the ESMF, which is integrated with this OM, would significantly minimize the potential impacts of the project to an acceptable level.

The Safeguard Team has conducted field investigation and stakeholder consultation in the project working upazilas to understand the current context and to record the social and environmental risks, which are likely to be involved with proposed interventions on resilient livelihood and drinking water solutions. The social and environmental dimensions are reflected in the findings of field investigation and stakeholder consultation.

### 4.1. Social Dimensions

- The Project does not require any land acquisition and/or resettlement. None of the interventions will require the displacement of people or will be implemented in protected areas or sensitive locations;

- The Indigenous People (IP) like Munda are living mostly at Koyra and Shyamnagar upazilas who might be affected due to project interventions. To avoid negative impacts on IPs where possible, otherwise implementation of Indigenous People's Plan (IPP) will protect them from the risks and enable equal access to project benefits, ensure participation in the decision making process as well as free, prior and informed consent of the indigenous people in planning and implementation process;
- There is no significant cultural heritage sites or location in the project working areas; and
- The Project has developed a gender-sensitive Grievance Redress Mechanism (GRM) to deal with any complaints and/or grievances and issues that may arise as a result of the project. This GRM has been developed in line with UNDP Social and Environmental Standards as well as harmonized with local experience in administering such mechanisms.

## 4.2. Environmental Dimensions

- Biodiversity Conservation and Sustainable Management of Living Natural Resources is an important issues to take into consideration. The crab farmers usually do collect crablets from nature either from local rivers or from the Sundarbans areas. It is an extremely unsustainable practice for biodiversity as well as the waste generated from bycatch.
- Low-cost fish (*i.e.* Tilapia, Silver Carp, Cuchia/Eel etc.) varieties that are regularly used for human consumption are also used as crab feed. It is an environmentally unsustainable practice and a threat to local food security, especially to the poor and marginal people who cannot pay a higher price for their animal protein source.
- The crab farms that are located near the natural water body are susceptible to submerge during natural events: cyclones, storm surges, hightide and heavy rainfall.
- The Sundarbans ecological critical area (ECA)/ protected area (PA) are close to the project working upazilas. The activities under the project do not lead to significant negative impacts on the threatened biodiversity and/or critical habitat or hot spots of endangered species.
- The use of pesticides and chemical fertilizers in agriculture-based livelihood activities might exacerbate pollution of soil and water through runoff during the rainy season. Integrated pest management (IPM) and integrated vector management (IVM) approach will reduce the extent of risks.
- Cyclones can cause RWH tanks to be moved or dislodged from the base causing damage to nearby houses, storm surges can impact the quality of water used for a pond-based system with filtration treatment.

## 4.3. Categorization of Project Activities

Project Activities	Anticipated Risks		Category of risk			Mitigation Measures
			GoB	GCF	UNDP	
Community Mobilization						
Selection of beneficiaries for livelihood interventions and	Indigenous and marginalized minority groups may suffer discrimination in regards to	-	B	Mode rate	A strict and transparent beneficiary selection process will ensure that project benefits/inputs are distributed in an equitable manner that should	

Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
drinking water solutions.	participation and site selection for livelihood interventions.				proportionately reflect the minority population and also prioritize adivasi households.
Participatory, site-specific mapping, beneficiary selection, and mobilization of community-based management structures	Extremely poor religious and indigenous minority groups, who are often discriminated in regards to participation and site selection for drinking water solutions.	-	B	Low to Mode rate	A human rights-based approach needs to be adopted to ensure all marginalized populations have equal access to the benefits and grievance mechanism for the project.
Formation and reactivation of Women Livelihood Groups (WLGs) and Water User Groups (WUGs)	Targeting women as primary beneficiaries may increase the incidence of intra-household conflict and Gender Based Violence (GBV) as gender norms are challenged and women gain assets and income.	-	B	Mode rate	Gender norm transformation and the issue of women's mobility and "appropriate work" should be addressed in community sensitization activities. The GRM should be gender sensitized and project monitoring and evaluation should also track intra-household conflict and GBV.
Gender integration in the aquaculture value chain	Due to local norms around appropriate work for women, restrictions on movement outside of the household may limit their involvement in the value chain.	-	B	Mode rate	The project needs to ensure proper working conditions for women beneficiaries and will include training in negotiation skills, financial management and access to markets.
<b>Climate Resilient Livelihood: Aquaculture activities</b>					
Crab Farming (176 small-scale farms);	<ol style="list-style-type: none"> <li>1. Vulnerability to storm surges, extreme winds and cyclones.</li> <li>2. Possibility of 'elite capture' of aquaculture interventions and issues with land tenure. Due to the profitability of farms, powerful actors and local 'elites' may control the asset and profits rather than poor small-scale farmers.</li> <li>3. Exacerbation of soil and water salinity in pond (gher) culture of mud crabs. Since brackish water is used for pond culture, salt content can be exported to neighboring fields through seepage, pond water discharge and pond sediments</li> <li>4. Expansion of crab farming has the potential to increase pressure on already depleted wild stocks of crab fry and create an incentive for</li> </ol>	Or-B	B	Mode rate	<ol style="list-style-type: none"> <li>1. Early warning systems in the case of an impending extreme weather event may minimize damage to assets and harvest all stock to minimize losses. Farming locations need to be carefully selected to ensure some shelter through the existing building, embankments, and vegetation.</li> <li>2. The projects need to ensure land tenure arrangements for beneficiaries are secured in the early stages of project implementation. Stakeholder engagement of communities will ensure knowledge of land tenure security and access to the grievance redress mechanism.</li> <li>3. Crab farming should not be promoted as long as hatcheries are successfully established and can meet all the local demands sustainably. It needs to be mandatory that all the crablets are strictly collected from the hatchery.</li> </ol>

Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
	<p>communities to enter mangrove areas and the Sundarbans Protected Forest for collection of wild fries, with impacts on biodiversity</p> <p>5. Improper water management and effluent management of Mud crab farming. Discharged wastewater from ponds into surrounding waterways, pollutes receiving systems and causes detrimental impacts. Untreated wastewater laden with uneaten feed and fish feces contributes to nutrient pollution in the receiving estuaries.</p> <p>6. Aquaculture disease risk. Crab in nurseries and farms, as well as brackish water fish cultivated in aqua-geoponics systems are susceptible to disease, the incidence of which increases with higher stocking densities and poor water quality.</p> <p>7. Local crab farmers remove the canopy coverage of the trees around the crab pond to make sure the leaves do not get into the water.</p> <p>8. Crablets are prohibited to harvest during January and February when the price is higher in the international market due to the Chinese festival. Local fishermen are tempted to illegally harvest crablets during the banned time that may cause further depletion of the natural stock.</p> <p>9. Soft shell farming requires higher investment and involves higher profit. Soft shell farmers are the big players in the game who controls the local market and supply of crablets, and feed supply. The small-scale hard-shell farmers are outrun in the</p>				<p>4. The siting of crab farms needs to be strictly regulated by the project team, and in close consultation with government authorities to obtain necessary licenses and permits. Soil and water salinity will be carefully monitored.</p> <p>5. Crab hatcheries need to be built as part of the livelihood component of the project in order to produce crablets for use in crab farming. The project needs to support environmental awareness training in communities and a code of practice to ensure that wild fry is not used, and also support enabling policy and regulations at the local government and national levels to promote the switch from reliance on wild stock to hatchery produced stock.</p> <p>6. Crab should be cultured according to international best practices to produce limited effluent and rely on a limited amount of external, high-quality feed, which will be produced as part of the project. Water quality should be monitored on a regular basis and all aquaculture interventions sites need to be located an appropriate distance from environmentally sensitive mangrove areas.</p> <p>7. International best practice needs to be used in mud crab aquaculture and aqua-geoponics systems to minimize disease risk, including biosafety protocols used for crab farming and crab hatchery facilities. Appropriate training should be given to beneficiaries, and water quality, feed consumption and disease incidence should be strictly monitored.</p> <p>8. A value chain market needs to be developed to ensure a fair price for the small-scale farmers and remove the influence of local elites.</p> <p>9. Saltwater inundation and discharge of pollutants need to be strictly monitored.</p> <p>10. Local small-scale farmers need to be linked with financial institutions for</p>



Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
	<p>competition and are being exploited by the soft-shell farmers.</p> <p>10. The local fish depot owners control the entire crab market supply chain. Local farmers who borrow from them are forced to sell crabs only to their shops. Small-scale farmers are severely deprived of a fair price.</p> <p>11. Since crab is primarily an export-oriented sector, fluctuation in international demand and price greatly affect the local farmers. During COVID-19 pandemic the decrease in international demand greatly affected local farmers and caused them huge financial losses.</p>				<p>obtaining a loan with reasonable conditions.</p> <p>11. Small-scale hard-shell crab farmers need to have proper access to feed and crablets at a fair price.</p> <p>12. A comprehensive further investigation is required to make sure all the social and environmental risks have been identified and managed before promoting this industry.</p>
<b>Crab Feed Processing and Trading</b>	Crab/Fish feed processing currently depends on inputs of small low-value fish and dried fish which can put pressure on wild fish stocks if not sustainably sourced.	Or-B	B	Mode rate	The project needs to support the research and development of high-quality crab/fish feed from plant-based sources that are locally available and do not rely on small fish. Crab farming cannot be promoted until a sustainable feed is identified for its farming.
<b>Crab nurseries (4 small-scale nurseries);</b>	Vulnerability to storm surges, extreme winds, high tides and cyclones	Or-A	B	Mode rate	The crab nurseries will be susceptible to cyclone damage. To minimize losses harvest of all stocks after obtaining early warning. The locations need to be carefully selected to ensure some shelter through the existing building, embankments, and vegetation.

Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
<b>Investment in upgrading of 2 crab hatcheries</b>	<ol style="list-style-type: none"> <li>1. Inadequate biosafety protocols in hatcheries, including the introduction of water and airborne pathogens, poor hygiene of staff and equipment, and the introduction of any organisms that are not adequately quarantined before entering the hatchery, can negatively affect crab hatchery stock and introduce disease risks.</li> <li>2. Hatchery needs a constant supply of brine to maintain salinity for crablet production. Brine generation, disposal and management is an environmental concern.</li> <li>3. The use of antibiotics in crablet production has environmental and health risks of getting them into the effluent.</li> </ol>	Or-B	B	Mode rate	<ol style="list-style-type: none"> <li>1. A high level of biosecurity is required for high larval survival and production of crablets for the nursery phase of crab culture and to avoid disease.</li> <li>2. Hatchery facilities need to be designed according to international best practices and must ensure that functional areas are separated to minimize the spreading of contaminants between areas.</li> <li>3. Field staffs will be trained to maintain proper hygiene and sterilization.</li> <li>4. Training will be given to all crab hatchery staff on best practices in biosecurity and knowledge dissemination, technical exchange and capacity building will be emphasized.</li> <li>5. The capacity of GoB institutions (BFRI) and the private sector will also be built in biosecurity and disease control.</li> </ol>
<b>Climate Resilient Livelihood: Agriculture Activities</b>					
<b>Homestead vegetables (189 home gardens)</b>	There is a possibility of increased application of pesticides and chemical fertilizers in the target areas due to the expansion of plant cultivation activities.	Green	C	Low	<p>The project will train beneficiaries in organic cultivation methods.</p> <ol style="list-style-type: none"> <li>1. Plant cultivation will be maximized using techniques such as mixed cropping, high quality seeds, raised beds, and organic fertilizer.</li> <li>2. Pesticide use will be prohibited and avoided by offering training in Integrated Pest Control methods, such as hand collection, Neem extract application and bagging.</li> </ol>
<b>Hydroponics (410 systems at household/ community levels)</b>	<ol style="list-style-type: none"> <li>1. There is a risk for eutrophication and public health impacts (from pesticides).</li> <li>2. Lack of interest among the local farmers for long-term investment on goats and cows due to frequent loss in natural disasters. In the last 10 years, more than 5/6 times their land and households were inundated in storm surges and high tides. The structure required to grow grass hydroponics in a rural setup is</li> </ol>	Green	C	Low	<ol style="list-style-type: none"> <li>1. Pesticide use will be prohibited and avoided by offering training in Integrated Pest Control methods.</li> <li>2. Organic fertilizer use will be regulated, and Water quality will be monitored in hydroponic and aqua-geoponics systems.</li> <li>3. The broken plastic will be sold to vendor/vangari shop for recycling.</li> </ol>

Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
	<p>susceptible to damage in a cyclone.</p> <p>3. In case of vegetable hydroponics if the structure be made of plastic it will be an environmental risk</p> <p>4. For vegetable hydroponic - the infrastructure cost, space allocation, and O&amp;M at the community level are major challenges for its adaptation and sustainability.</p> <p>5. For vegetable hydroponic - the infrastructure cost, space allocation, and O&amp;M at the community level are major challenges for its adaptation and sustainability.</p>				
<b>Aqua-geoponics (61)</b>	There is a risk for eutrophication and public health impacts (from pesticides).	Green	C	Low	Pesticide use will be prohibited and avoided by offering training on Integrated Pest Control methods. Organic fertilizer use will be regulated, and Water quality will be monitored in aqua-geoponics systems.
<b>Sesame growing (114) community level gardens)</b>	There is a possibility of increased application of pesticides and fertilizers in the target areas due to the expansion of plant cultivation activities.	Green	C	Low	The project will train beneficiaries in organic plant cultivation methods. Plant cultivation will be maximized using techniques such as mixed cropping, high quality seeds, raised beds, and organic fertilizer. Pesticide use will be prohibited and avoided by offering training in Integrated Pest Control methods.
<b>Plant nurseries (45 community based interventions)</b>	<p>1. Increased application of pesticides and fertilizers in the target areas may cause eutrophication and have public health impacts.</p> <p>2. Local nursery growers prefer growing of exotic species which may threaten to decline indigenous species</p>	Green	C	Low	<p>1. The project will train beneficiaries in organic plant cultivation methods. Plant cultivation will be maximized using techniques such as mixed cropping, high quality seeds, raised beds, and organic fertilizer.</p> <p>2. Training content should include awareness on indigenous species</p>
<b>Gender Responsive Drinking Water Solutions</b>					
<b>HH level RWHS (13,308)</b>	1. Cyclones can cause RWH tanks to be moved or dislodged from the base causing damage to nearby houses, storm surges can impact the quality of water used for a pond-based system with filtration treatment.	Green	C	Low	1. RWH tanks will be secured to cement platforms to minimize the risk of dislodging from the base, and institutional and community level systems have been prioritized to minimize the possibility of damage to beneficiary houses. All roof materials

Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
	<p>2. Waste generation from the installation of Rainwater Tanks. There is potential for waste to be generated from extra pipe and guttering that exceeds the needs of the project, although the vast majority of the installation will be prefabricated.</p> <p>3. Women and children might be affected by the wrong selection of sites and challenge existing norms and gender roles (e.g., reduced and congested space for cooking might result in increased burden and hazard for women if she is the one performing this role).</p> <p>4. There might be discrimination against hiring women as workers during installation or paying them an equal wage.</p> <p>5. The RWHS is one kind of asset to the HH and ownership of this could be taken over by men in the HH due to existing gender inequalities.</p>				<p>will be checked for structural integrity and guttering secured to ensure that catchment systems are resistant to extreme weather.</p> <p>2. Prior to installation, a full site evaluation will be undertaken to assess all sites, with consideration of proximity to water sources, suitability of existing roofing materials and proximity to environmentally sensitive areas. Appropriate measures will be taken to ensure a specific amount of material is procured according to RWHS design, thus, reducing waste.</p> <p>3. In the full site evaluation prior to installation, both women and men of the HH will be consulted to ensure their participation in the site selection process.</p> <p>4. Hiring both women and men workers should be encouraged and paying them equal wages should be ensured. This should be included in all the relevant documents for RWHS installation and discussed properly in meetings/consultations with the contractors.</p> <p>5. The RWHS system should be handed over to the woman of the HH (the beneficiary) with proper dignity and a feeling of ownership of the asset. At the same time, both women and men of the HH should be provided with the responsibilities to take care of it as it will serve all the HH members.</p>
<b>Community level RWHS (228)</b>	<p>1. The earthworks may move sediment. If it is not properly contained, may be removed either as an air pollutant or through overland flow during a rain event.</p> <p>2. The existing waterways and groundwater systems may also be contaminated during earthworks.</p> <p>3. There is a chance of public health and system sustainability risks from improper maintenance and</p>	Or-A	B	Mode rate	<p>1. Any earthworks should be undertaken during the dry season and compacted sufficiently to reduce sediment movement. An erosion control and sediment plan would be followed.</p> <p>2. To ensure contaminants do not enter waterways and groundwater systems, a water-quality monitoring plan and management framework along with an erosion control sediment plan will be developed. Environmental management measures, including Water Quality Monitoring will be</p>

Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
	<p>operation of Rainwater Harvesting Systems.</p> <p>4. Women are restricted to access to religious institutions, especially at prayer time. All users are restricted to educational institutions during class time;</p> <p>5. When the water solution is installed at the Union Parishad Office, political members may restrict the people who belong to the opposition party.</p> <p>6. Long wait time in the queue from a shared water solution discourages women to access at late afternoon. A long queue for water collection may arise social conflicts.</p> <p>7. The participants raised the concern that for rainwater solutions outside users might access with their influence who may sometimes damage the fittings and the enlisted users may not have year-round availability of water.</p> <p>8. There is a risk of abuse or waste of resources when the fee is based on a subscription basis rather than the quantity of water collected.</p> <p>9. There might be discrimination against hiring women as workers for construction or paying them equal wages.</p>				<p>applied to all the aquaculture interventions.</p> <p>3. RWH systems will be designed to include a first flush system to ensure that debris and other contamination from the catchment surface do not enter the tank. All beneficiaries will pay a nominal fee to fund O&amp;M activities and caretaker performance will be monitored.</p> <p>4. A prepaid card or monthly membership system for shared/community water solutions would reduce the waste of water and support generating O&amp;M funds.</p> <p>5. For institutional water solutions, there should have a clear agreement with the institution management that the users have available access to the water solution.</p> <p>6. Before the handover, WQT (water quality test) should be conducted from the DPHE laboratory</p> <p>7. Hiring both women and men workers should be encouraged and paying them equal wages should be ensured. This should be included in all the relevant documents for construction work and discussed properly in meetings/consultations with the contractors.</p>
<b>Institutional level RWHs (19)</b>	<p>1. There is a potential for the release of chemicals: heavy metals and other chemicals may enter waterways and groundwater systems during the works.</p> <p>2. Rainwater Harvesting tanks require relatively simple operation and maintenance, however given that large-scale, high volume tanks are a new technology in the target districts, there is some risk that improper operation and</p>	Or-A	B	Mode rate	<p>1. To ensure contaminants do not enter waterways and groundwater systems, a water-quality monitoring plan and management framework would be employed. Where rainfall is anticipated, appropriate material should be placed under the sediment prior to excavation to ensure there is no seepage into groundwater systems. Environmental management measures, including water quality monitoring will be applied to all the aquaculture interventions.</p>



Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
	<p>maintenance will lead to microbial contamination or that water in tanks may become a breeding site for mosquitoes.</p> <p>3. There might be discrimination against hiring women as workers for construction or paying them equal wages.</p>				<p>2. A detailed O&amp;M plan, including the participation of Water User Groups (WUGs) at the community level, Water Management Committees (WMCs) at the ward level and the DPHE at the institutional level will ensure that water is free from microbial and other contamination. Technically, RWH systems will be designed to include a first flush system to ensure that debris and other contamination from the catchment surface do not enter the tank. All beneficiaries will pay a nominal fee to fund O&amp;M activities and caretaker performance will be monitored. Finally, water will be subject to regular water quality monitoring as per the ESMF.</p> <p>3. Before the handover, WQT should be conducted from the DPHE laboratory</p> <p>4. Hiring both women and men workers should be encouraged and paying them equal wages should be ensured. This should be included in all the relevant documents for construction work and discussed properly in meetings/consultations with the contractors.</p>
<b>Pond based solution (Sky-hydrants) (41)</b>	<p>Tidal surge, flood or cyclone may inundate the pond with salt and contaminated water.</p> <p>Improper maintenance of the filter may reduce water quality and affect public health.</p> <p>The ownership of the pond may restrict the access the water access to marginalized people.</p>	Or-A	B	Mode rate	<p>1. Suspended solids retained after cleaning the chambers will be disposed of in the ground by digging a hole.</p> <p>2. After backwashing the filter the sludge produced will be disposed of in the ground by digging a hole.</p> <p>3. Before the handover, WQT should be conducted from the DPHE laboratory. The community should not drink water until water quality meets the standard of the Bangladesh government.</p>
<b>Procurement of inputs, assets and tools for community-based management (through WLGs) of climate-resilient livelihoods</b>	<p>Plastics: The vendor might use plastic bags as packing materials for providing inputs.</p> <p>There is a possibility to provide pesticides and fertilizers as input for sesame cultivation and growing homestead vegetables.</p>	-	B	Low to Mode rate	<p>1. Natural fiber-based packaging material should be used.</p> <p>2. The project will train beneficiaries in organic plant cultivation methods. Plant cultivation will be maximized using techniques such as mixed cropping, high-quality seeds, raised beds, and organic fertilizer.</p>

Project Activities	Anticipated Risks	Category of risk			Mitigation Measures
		GoB	GCF	UNDP	
					3. Pesticide use will be prohibited and avoided by offering training in Integrated Pest Control methods.
<b>Demonstration of new innovations on drinking water solutions and climate resilient livelihoods</b>	Environmental sustainability and social acceptance of any technology may not be proved. Local culture, customs and gender norms may be affected.	Or-A	B	Mode rate	An environmental and social feasibility study is required before identifying any innovative options.

#### 4.4. Categorical Exclusions and Threshold Decision

Activities under output 3 (strengthened institutional capacities, knowledge and learning for climate-risk informed management of livelihoods and drinking water security) and related to roll-out of the project are involved low or no risks and/or have positive impacts. For those activities, Categorical Exclusion and Threshold Decision is recommended.

Project Activities	Anticipated Risks	Category of Risk			Remarks
		GoB	GCF	UNDP	
<b>Community-based monitoring and last-mile dissemination of EWs for climate-risk informed, adaptive management of resilient livelihoods</b>	This is a community and institutional level training activity, which is unlikely to have any adverse environmental and social risks but rather will have environmental and social benefits.	Green	C	Low	No mitigation measures are required.
<b>Participatory mapping, analysis, planning, monitoring and evaluation</b>	These activities will be initiated following PRA tools. The representation of beneficiaries in the exercise would contribute to the quality of results, but it would have no or low impact at the community level.	Green	C	Low	Do
<b>ToT based training, basic training, workshop, exchange visit, networking and awareness events</b>	This is a community and institutional level event, which is unlikely to have any adverse environmental and social risks but rather will have environmental and social benefits	Green	C	Low	Do
<b>Development of toolkits, livelihood profiles code of practice, field guide, protocol, training materials, reports and other IEC materials and knowledge product</b>	The preparation of knowledge products and IEC materials may involve the use of paper and non-disposable materials, but these will bring a positive impact for changing the behavior, knowledge and attitude.	Green	C	Low	Do
<b>Different study including baseline, impact studies, livelihood, gender, social and environmental will be</b>	The preparation of knowledge products and IEC materials may involve the use of paper and non-disposable materials, but these will	Green	C	Low	Do

conducted by national and international consultants	bring a positive impact for changing the behavior, knowledge and attitude.				
<b>Strengthening MoWCA's technical and coordination capacities for design and implementation of gender-responsive, climate-resilient coastal livelihoods</b>	These are institutional planning & coordination, capacity building and knowledge management activities, which are unlikely to have any adverse environmental and social impacts, but rather significant environmental and social benefits.	Green	C	Low	Do
<b>Strengthening DPHE's capacities for climate-risk informed management of drinking water solutions across the Southwest coast</b>	These are institutional planning & coordination, capacity building and knowledge management activities, which are unlikely to have any adverse environmental and social impacts, but rather significant environmental and social benefits.	Green	C	Low	Do
<b>Establishing knowledge management, learning and M&amp;E mechanisms to promote long-term, adaptive capacities of coastal communities</b>	These products are mainly formulating the strategy/mechanisms which mostly will be digital form, so, it will not involve any environmental and social risk.	Green	C	Low	Do
<b>Project Start-up Activities (i.e. staff recruitment, office set up, NGO selection, staff orientation etc.)</b>	Procurement of office furniture and equipment might involve low-level environmental risk. But other activities may not have any risk.	-	C	Low	Office furniture and equipment would be reused.
<b>Roll-out of project activities at the field (i.e. stakeholder meeting/workshop at district, upazila and union level; conduction of census, baseline etc.)</b>	This is a community and institutional level activity, which is unlikely to have any adverse environmental and social risks but rather will have environmental and social benefits.	-	C	Low	Do

## 5. SOCIAL AND ENVIRONMENTAL ASSESSMENT AND MANAGEMENT OF PROJECT ACTIVITIES

During the formulation of the project, a comprehensive risk assessment and stakeholder consultation were made following the UNDP's Social and Environmental Screening Procedure and assessed the likelihood (expected, highly likely, moderately likely, not likely) and the impact of the risks (high, substantial, moderate, low, negligible). Since the ESMF has been incorporated all the potential social and environmental risks, their significance and consequence and elaborately discussed about mitigation measures so the Safeguard Team is envisioned to implement the ESMF by-

- monitoring the social and environmental compliance of all activities;
- mitigating potential social and environmental risks and their impacts;

- integrating safeguard issues with all components; and
- strengthening social and environmental sustainability.

The tools for social and environmental compliance monitoring is developed to fulfill the project requirements and aligned with the requirements of ESMF.

### 5.1. Process and Steps of Monitoring

**Activities/Schemes:** Plant Nursery, Homestead Gardening, Sesame, Aqua Geoponics, Hydroponics, and HbRWHS

**Process:** The Union Supervisor/Project Officer (from RP-NGOs) will conduct a simple compliance monitoring using the Compliance Monitoring forms (Annex – II). The President/Vice-president from WLG (Women Livelihood Group) and WUG (Water User Group) is desired to be present during the evaluation if the community groups are already formed, but where the groups are not formed the respective beneficiaries should be consulted. After completing the evaluation, the President/Vice-president/respective beneficiary will sign the form which would reflect their consent on the risks and mitigation measures.

**Steps:** The Ward Facilitator (from RP) would organize the President, Vice-president, potential member and respective beneficiaries to conduct the evaluation and then the Union Supervisor/Project Officer would facilitate the evaluation process.

**Major Responsibilities:** Union Supervisor/Project Officer is to conduct evaluation and the Monitoring & Documentation Officer (MDO) is to review and recommend activities. The Project Manager (PM) would make the final review. For the water options, he would check whether the water quality is tested, a water safety plan is developed and training on O&M is provided before his approval.

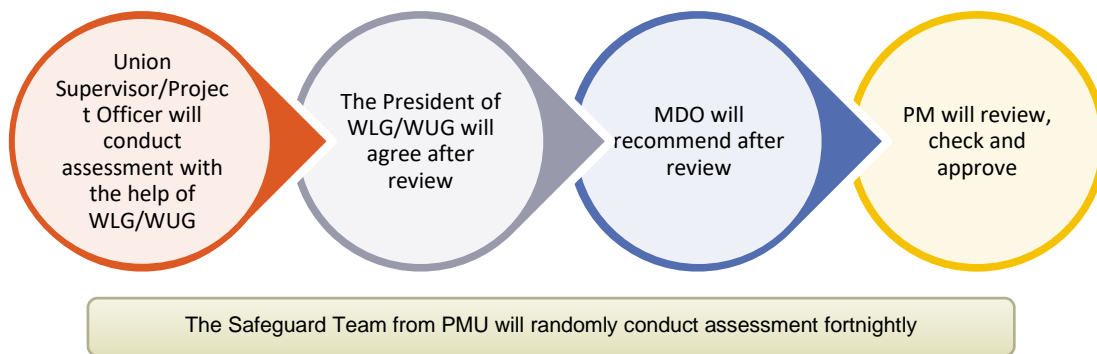


FIGURE 4: MONITORING PROCESS FOR COMPLIANCE MONITORING FORMS

**Activities/Schemes:** Crab farming, crab nursery, crab feed processing, rainwater harvesting system at institutional and community level, pond-based ultra-filtration system.

**Process:** The Safeguard Team of PMU would conduct Initial Social and Environmental Examination (ISEE) before the operation/construction phase of activities/schemes using the ISEE Forms (Annex – I). The Monitoring and Documentation Officer (MDO) and Market and Capacity Building Facilitator (MCBF) from RP-NGOs would follow up the implementation of mitigation measures as suggested by the Safeguard Team. The President/Vice-president from WLG (Women Livelihood Group) and WUG (Water User Group) is desired to be present during the evaluation if the community groups are already formed. But where the groups are not formed the respective beneficiaries should be consulted. After completing the evaluation, the President/Vice-president/respective beneficiary will sign the form which would reflect their consent on the risks and mitigation measures.

**Steps:** The Safeguard Team of PMU would conduct ISEE before the operation/construction phase and the MDO/MCBF would follow up and monitor during the operation/construction phase. The Ward Facilitator would organize the President, Vice-president, potential members and respective beneficiaries to conduct the evaluation and then the Safeguard Team/MDO/MCBF would facilitate the evaluation. Union Supervisor/Project Officer will follow up and extend support as necessary.

**Major Responsibilities:** The Safeguard Team from PMU is to conduct ISEE and suggest Ward Facilitator to implement mitigation measures. Union Supervisor/Project Officer is to provide support in the implementation of mitigation measures. The Monitoring and Documentation Officer (MDO) and Market and Capacity Building Facilitator (MCBF) are to follow up the implementation of mitigation measures and conduct monitoring during the operation/construction phase. The Project Manager (PM) is overall responsible to ensure the suggested process and required steps are followed by his team members. He would also check whether the water quality is tested, a water safety plan is developed and training on O&M is provided for the water options.

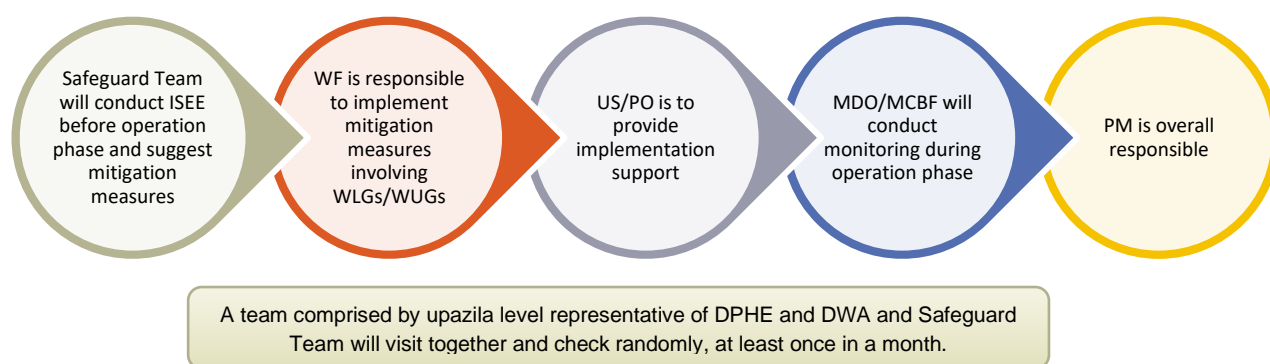


FIGURE 5: ASSESSMENT PROCESS FOR ISEE FORMS

## 5.2. Implementation of Mitigation Measures

The Department of Women Affairs (DWA) will be overall responsible for implementation of mitigation measures related to livelihood activities while the Department of Public Health and Engineering (DPHE) will be overall responsible for drinking water related interventions. The RP-NGOs will extend support through mobilization and engaging WLGs and WUGs for timely implementation of mitigation measures



are discussed in this OM. The Safeguard Team from PMU will oversight and provide technical support to the RP-NGOs, DWA and DPHE as necessary.

### 5.2.1. PROCESSES AND STEPS OF IMPLEMENTATION

The mitigation measures that are suggested in the OM and identified during the conduction of assessment will be implemented before, during and after the intervention of the activities/schemes as applicable. The WLGs and WUGs will primarily be responsible for the implementation of the mitigation measures with the support of Ward Facilitator from RP-NGOs. The hired contractors/vendors will also be accountable to ensure mitigation measures in their assigned works.

The Union Supervisors/Project Officer from RP-NGOs will be responsible for regular inspections of activities/schemes and extend her/his support for the implementation of the mitigation measures where necessary. The Monitoring and Documentation Officer and Market and Capacity Building Facilitator (MCBF) from RP-NGOs will be responsible for regular compliance monitoring and check whether the process is applied by visiting at least 30% of activities/schemes in a month while the Project Manager will monitor the process and progress of implementing mitigation measures visiting at least 20% activities/schemes in a month. The Safeguard Team from PMU will visit at least 10% of activities/schemes in a month and will check process, progress and compliance and will ensure that the requirements are adequately followed by all implementing parties. They will also follow up with the contractor takes timely remedial actions where necessary.

All inquiries, concerns, complaints and/or grievances will be investigated, and a response will be given to the complainant in a timely manner. A publicized telephone number will be maintained throughout the project to serve as a point of contact for inquiries, concerns, complaints and/or grievances. Nominated PMU staff will be responsible for undertaking a review of all inquiries, concerns, complaints and/or grievances and ensuring progress toward resolution of each matter.

One training program is organized for and with the relevant field staffs on this OM. After one year, the OM will be updated, and a refresher training event will also be organized.

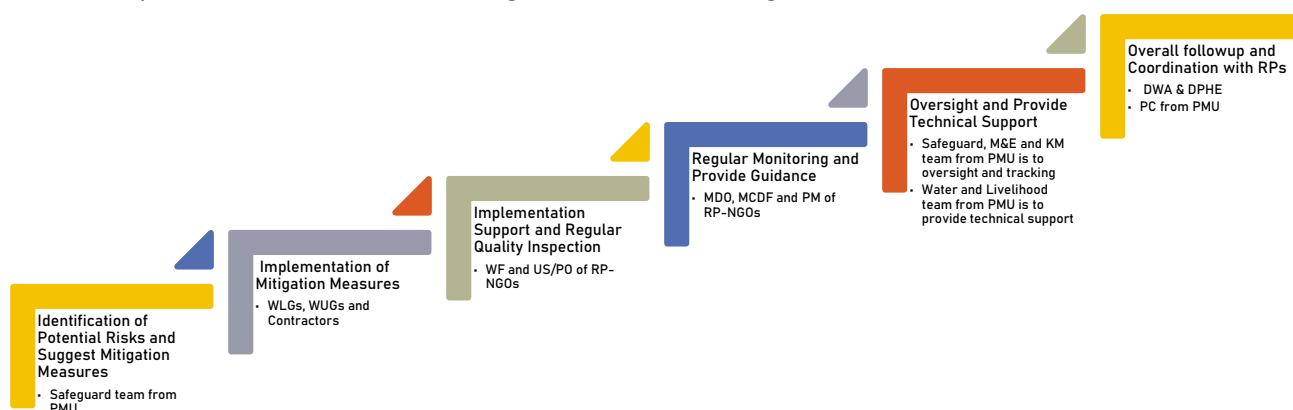


FIGURE 6: IMPLEMENTATION STEPS & PROCESSES

### 5.2.2. ROLE AND RESPONSIBILITIES OF FIELD STAFFS

Implementation of mitigation measures may require the participation of various actors in the field which includes staffs from RP-NGOs, PMU, and upazila and district level officers from implementing agencies. These actors will be responsible and accountable for managing the potential risks through the implementation of the mitigation measures. The specific role and responsibilities are described below:

1. **Ward Facilitator (RP-NGO):** Most of the mitigation measures will be implemented through and by the WLGs and WUGs. The Ward Facilitator as a front-line staff member will be responsible to involve the WLGs and WUGs to ensure the mitigation measures are implemented timely.
2. **Union Supervisor/Project Officer (RP-NGO):** The Union Supervisor/Project Officer will be the point of contact at union level and responsible for the mitigation measures to be implemented within the union jurisdiction. S/he will monitor the performance of Ward Facilitator and manage the conflicts (if arise) involving respective community groups and representatives from LGIs.
3. **Monitoring and Documentation Officer (RP-NGO):** The Monitoring and Documentation Officer will draft the monthly report and share it with the Project Manager (RP), along with his/her observation and suggestions. S/he will be doing the monitoring randomly which will be added to the report as case studies and lessons learned.
4. **Project Manager (RP-NGO):** The Project Manager will be the point of contact at upazila level and overall responsible to ensure the mitigation measures being implemented within the upazila area. S/he will extend support to upazila level Grievance Redress Committee (GRC) to manage the conflicts (if arise the conflict and asked by upazila GRMC). And s/he will compile the report quarterly and submit it to the Safeguard Team at PMU.
5. **Safeguard Officer (PMU):** The Safeguard Officer is responsible to coordinate, monitor and support to the implementation of mitigation measures. S/he will compile the reports from upazila level and submit it to the Safeguard Specialist quarterly. The Safeguards Officer will be designated as the key officer in charge of the Grievance Redress Mechanism at the upazila level.
6. **Safeguard Specialist (PMU):** The Safeguard Specialist is overall responsible to provide strategic support for ensuring the identified social and environmental management measures are implemented and monitored. S/he will compile the reports from Safeguard Officer and incorporate them with QPR, APR and ROAR. Also, prepare a status report on the risk log describing the current risk category and mitigation measures taken on a quarterly basis.
7. **Regional Project Manager (PMU):** The Regional Project Manager will coordinate with the implementing agencies and make sure their participation in the implementation of the mitigation measures. S/he will manage the conflicts (if arise) coordinating with implementing agencies and local administration at the district level.
8. **Project Coordinator (PMU at Dhaka):** The Project Coordinator has final authorization responsibility for ensuring all responsible parties are working according to their specific role, OM has been fully applied and addressed at the project level.

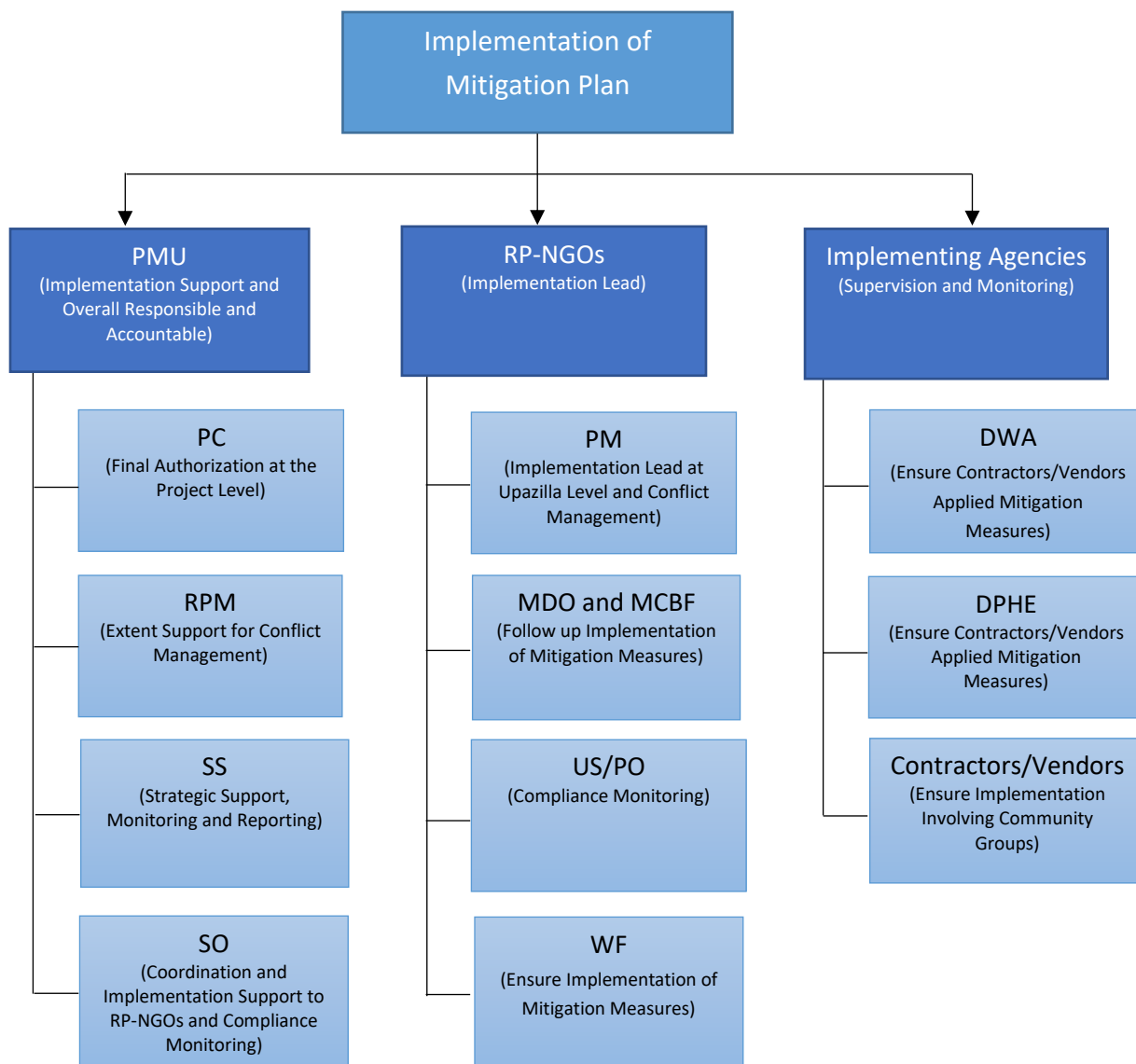


FIGURE 7: IMPLEMENTATION OF MITIGATION PLAN

### 5.2.3. ISSUANCE OF SAFEGUARD ADVISORY NOTES

The Safeguard Team from PMU would issue the safeguard advisory notes to the implementing agencies (RP-NGOs, contractors, community groups and relevant bodies) before implementation of any activity to address the potential risks associated with that activity and implement mitigation measures. It is a proactive whistle-blowing for the field staffs which would reflect the anticipated risks and actions needed to avoid or mitigate the risks. It would greatly reduce the risk of social and environmental damages from project activities.

#### 5.2.4. ISSUANCE OF SAFEGUARD OBSERVATION NOTES

The Safeguard Team from PMU would issue the safeguard observation notes to the implementing agencies (RP-NGOs, contractors, community groups and relevant bodies) immediately after their field observations. It is a reactive whistle-blowing for the field staffs which would identify the mitigations measures not addressed at the field but suggested in the advisory note. It would greatly be accountable to the field staffs and reinforce the implementation of mitigation measures.

## 6. FREE, PRIOR AND INFORMED CONSENT (FPIC)

FPIC is principally protected by international human rights standards that recognize “all peoples have the right to self-determination and protect their traditional economic, social and cultural rights”. The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP, 2007) and the International Labour Organization (ILO, C169, 1989) also recognized the plights of Indigenous Peoples and recommends obtaining a Free, Prior and Informed Consent (FPIC) as a pre-requisite for any activity that affects their ancestral lands, territories and natural resources. In recent years, development experts have recognized that FPIC is not only important for indigenous peoples but is also a good practice to involve local communities in the decision-making process of any proposed development activity to increase their sense of ownership as well as to guarantee their right to development.

### 6.1. What is Free, Prior and Informed Consent?

Free refers to a consent given by the beneficiaries/community voluntarily and without pressure, fear or manipulation; prior means that consent is sought sufficiently in advance of the commencement of activities; informed implies mainly to the nature of the engagement and type of information that should be provided prior to seeking consent; and consent is the decision/agreement made by the beneficiary/community, formal or informal. It offers practical guidance to GCA project staff, consultants and outsourced organizations for soliciting FPIC for the implementation of project activities.

### 6.2. Why It is Required in the GCA Project

The implementation of the planned activities may negatively affect the poor and marginal people, in particular the indigenous people. A well-developed FPIC process would ensure that everyone's right is protected.

Beneficiaries/HH/community would give their consent voluntarily and without any pressure, intimidation, or manipulation before the start of the project activities. The key objectives of this FPIC include:

- Protection of traditional heritage, local customs, language, cultural and religious values, dignity, local practices and basic human rights;
- Ensure a transparent stakeholder engagement free from coercion, bias, bribery or reward;
- Involve stakeholders in the planning and decision-making process as well as increase their sense of ownership for building partnership;
- Reduce any negative impact on the life and livelihood that may encounter during project interventions;
- Offer a supportive environment so that people can raise their voices and choices and
- Establish a trusted relationship with the community.

### **6.3. Process and Steps of Obtaining FPIC**

It is a mutually accepted engagement between a beneficiary and a project. Beneficiaries will give their consent upon their understanding of the activity, its approach and scale of intervention. The agreement will be valid for the duration of the project, but beneficiaries may withhold her/his consent whenever they want. At the same time, GCA will have the right to terminate her/his beneficiary registration if it is proved that s/he is involved with any fraudulence/illegitimate/subversive activities.

The field staffs of RP NGO will seek consent prior to the start of any activity (a prescribed form is attached at Annex – III). They will describe first about the project including nature, size, pace, duration, the approach of implementation and scope of any proposed activities, its purpose and the location of areas along with positive and negative impacts and benefits of the proposed activities and consequences of giving or withholding consent.

## **7. GRIEVANCE REDRESS MECHANISM (GRM)**

During the implementation phases of any project, a person or group of people can be affected, directly or indirectly due to the project activities. The grievances can be related to social issues such as eligibility criteria and entitlements of beneficiaries, disruption of existing gender norms and practices, sexual exploitation and abuse, access to project benefits by marginalized groups, disruption of services, temporary or permanent loss of livelihoods and other similar issues. Grievances may also be related to environmental issues such as impacts on water quality, damage to infrastructure due to construction or transportation of raw material, noise, decrease in quality or quantity of private/ public/ ground or surface water resources during the implementation of livelihoods or water provision, damage to homestead gardens and agricultural lands etc.

The Grievance Redress Mechanism in the GCA project provides a practicable, transparent, independent and robust problem-solving mechanism to address complaints from people who believe that they are negatively affected or may be affected by this project. It will resolve complaints and/or grievances timely and effectively address problems that may be encountered during implementation.

Two types of GRM have been developed for the project-

- i) GRM for Beneficiary Selection and
- ii) GRM for Overall GCA Project.

### **7.1. Registering and Resolving Grievances**

The community should get a clear idea about the benefits of this project and the necessary steps to go through to get those benefits after being selected as a beneficiary. It needs to be confirmed that all the complaints have been received, taken into account and sent to the concerned person for resolution in due time. The entire complaint registration process – starting from complaint receiving to handing it over to the person/committee in charge; grievance redressal and consultation/discussion with the complainant - should be carefully recorded in the process. A dedicated complaint/objection register will be reserved at all Union Parisads (UP) and the office of the Information Service Officer (Tottho Apa) at the Upazila level. The Secretary of the UP and Information Service Officer (Tottho Apa) would regularly record complaints and grievances with the help of the project staffs (Union Supervisor/MDO).



### 7.2. Which Complaints Can be Taken into Account?

- Related to the project; and
- Filed by a person or community who believes that they have been adversely affected by the project or by a decision made under the project; and
- Related to sexual exploitation and abuse (SEA)

### 7.3. Procedures of Filing and Handling Complaints

All complaints regarding social, environmental, financial, gender and other relevant issues can be filed either verbally (in person or by phone) or in writing to the respective UP, RP or PMU. The UP Secretary, Monitoring and Documentation Officer of RP and Safeguard Officer from PMU will maintain a register of complaints that are received. All complainants shall be treated respectfully, politely and with sensitivity with the issuance of acknowledgment receipt (a sample of acknowledgment receipt is attached at Annex – IV). For complaints of SEA a guidance note will be developed and shared with relevant authorities and project beneficiaries.

### 7.4. Grievance Filing Procedures

The contact information specific to the GRM, to whom and how to file a complaint would be publicly announced at the time of the initial activities and at regular (three months intervals) throughout the course of GCA project implementation.

A complaint/objection can be filed verbally (in person or over the phone) or in writing either in Bangla or English. All objections and complaints should be submitted to the concerned UP Secretary or concerned Information Service Officer/Tothyo Apa (the name of the Information Service Officers, their mobile number and email ID is attached at Annex – V). The complainant can bring a supporter or consultant with him/her while the complaint is lodged. The project staffs from RP NGO will assist the complainant during lodging the complaint.

The complaint may be submitted by one or more of the following means:

- **In-Person:** If there is any inconsistency in the beneficiary list or if the right person is not selected or if someone felt discriminated a complaint can be filed directly to a local staff or UP Secretary or Information Service Officer (Tothyo Apa). The complaint needs to be registered in the complaint register which is available with UP Secretary or Information Service Officer (Tothyo Apa) with the signature of the complainant.
- **Telephone:** Complaints/objections can be lodged over the telephone, but that must be reported in writing later. A dedicated mobile number would be provided during the primary list publication.
- **Email:** If the email address of the UP Secretary is available, the complaint can be lodged to the address over email. Otherwise, to the project official email dedicated to receiving grievances grm.gca@gmail.com (proposed)
- **By Post:** Written complaints can be sent to the Union Parishad Secretary at the UP address. The complainant can also send the mail to the respective RP NGO at Upazila level or Khulna Regional Project Office.
- **Complaint Box:** At Upazila level, a complaint box would be maintained at the relevant RP NGO office. The complainant may also submit his/her/their complaint in the 'Complaint Box'.
- **Website:** If there is an opportunity to complain to an union council website, the complaint can also be lodged there as well.

In case of SEA the victim or witness may consult, lodge a complaint or ask for support in any emergency situation to the assigned person through all means mentioned above. Confidentiality will be maintained strictly in such cases and further guidance will be made available in a separate note soon.

The UP Secretary and Information Service Officer (Tothyo Apa) will maintain a separate register book for keeping records on the measures taken of resolved complaints. The Monitoring Officer of RP NGO and Safeguard Officer of PMU would also maintain a separate register to record all the lodged complaints.

#### **7.5. What Information is Needed with the Complaint?**

- Identify the subject of the complaint
- A clear description of the complaint
- Identify the individual who is submitting the complaint and specify if confidentiality is requested; and
- Provide supporting evidence to assist the investigation. Include any suggestions on how the individual believes the complaint could be resolved.

#### **7.6. Registering a Complaint**

It needs to be confirmed that all the complaints have been received, taken into account and sent to the concerned person for resolution in due time. The entire process, complaints or grievances received, the steps taken to address them and transferred to the responsible person for resolution and advice given to the aggrieved person must be carefully recorded. A dedicated register book (a prescribed template is attached at Annex – VI) should be kept by all Union Parishads, RP NGO and Khulna Regional Office. Information about the GRM and how to make a complaint and/or grievance must be publicly disclosed and placed at prominent places for the information of the key stakeholders.

#### **7.7. Process and Steps of Implementation**

A two-tier GRM structure has been developed to address all complaints and/or grievances in the project. In the first tier – an Upazila level grievance redress committee will resolve the cases in a meeting by discussion. The resolution at the first tier will be normally be completed within 10 working days and the complaint and/or grievance will be notified of the proposed response through a written form. The committee will regularly seat together every 3 months, but they can call for a meeting at any time for any emergency. The Upazila level committee would be formed with the following personnel:

1. Assistant Commissioner (Land) – Chairman
2. Upazila Women's Affair Officer – Member Secretary
3. Sub-Assistant Engineer/Assistant Engineer of the DPHE – Member
4. The female member of the relevant UP – Member
5. The Regional Project Manager, GCA Project, Khulna Office - Member
6. Project Manager of the relevant RP-NGOs – Member and
7. A nominated officer from PMU - Member

If the complainant is not satisfied with the resolution, he/she/they can appeal to the Second Tier Committee at the District level. The District Grievance Committee will be comprised of:

1. Deputy Director, Local Government – Chairman
2. Executive Engineer, Department of Public Health Engineering – Member
3. Deputy Director, Department of Women Affair's – Member
4. A nominated officer from PMU – Member and
5. The Regional Project Manager, GCA Project, Khulna Office – Member

### 7.8. ToR of GRCs

The committee will review and resolve all the complaints related to the project except the following three:

1. The rent/compensation for the acquired land;
2. Technical and engineering issues;
3. Any running corruption case that is in the court

The project will bear the cost of the transport and provide honorarium to the member of the committee for attending any meeting.

### 7.9. Coordination and Documentation

The National Project Director on behalf of MoWCA will issue an office order or circular to activate the GRC. The committee would oversee all the grievances EXCEPT for grievances related to a. compensation for acquired land; b. issues related to engineering/technical aspects and c. cases pending in court.

The Safeguards Officer of the PMU will act as the focal person to collect complaints and/or grievances, acknowledgment receipt and maintain register at PMU level, review/study the complaints, organize a meeting and resolve the complaints in the meeting, coordinating with the concerned parties, monitoring the activities and reporting. In case, if the women beneficiaries hesitate to report certain grievances to the male focal points then they may file complaints to the Gender Specialist who is a female member of the PMU. The Safeguards Officer will prepare a report on the Grievance Redress issues of the Project for addition into the quarterly report.

Any grievance related to corruption, unethical practice, issues not resolved at the first and second-tier structure or response is unsatisfactory to the complainant should be referred immediately to the National Project Coordinator of UNDP and National Project Director of MoWCA. Complaints of SEA by the local population will be dealt through a different mechanism. A guideline on reporting mechanism of SEA will be shared soon.

### 7.10. Cautions and Way Forward

The information will be freely accessible to all stakeholders including the complainants, beneficiaries, local government, local administrations, implementing agencies, RP-NGOs and donors. The document will be shared with the UPs, RP-NGOs and implementing agencies for field-level practice. Feedback from all parties will be welcomed for the improvement of the mechanism and periodical updating.

How the complaints will be resolved is shown in the following table:

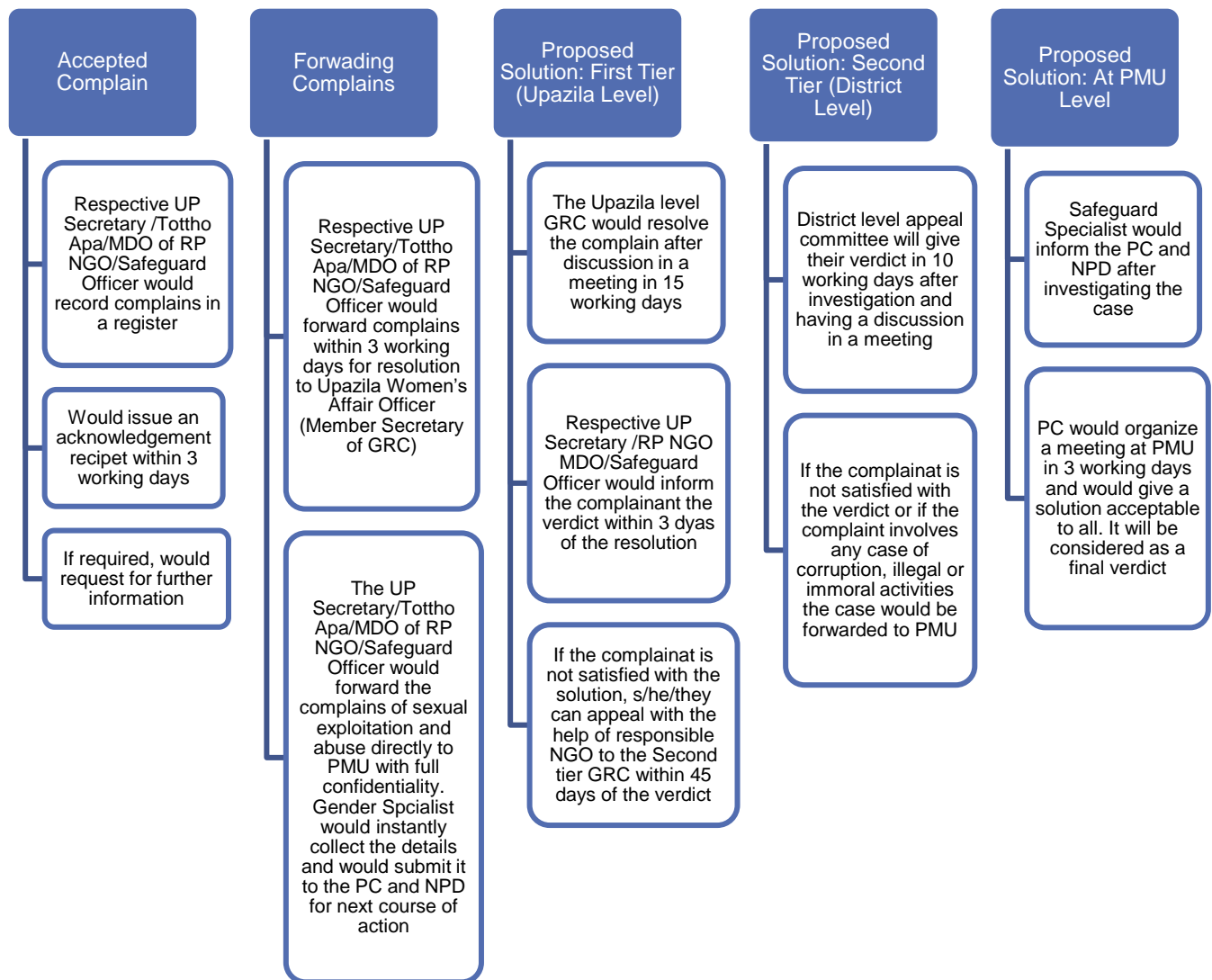


FIGURE 8: GRIEVANCE HANDLING PROCEDURE

## **8. IMPLEMENTATION OF INDIGENOUS PEOPLE PLAN (IPP)**

In order to mitigate potential risks and adverse impacts on the Indigenous Peoples/Ethnic Minorities in the project area and implement the Indigenous People's Planning Framework (IPPF) an Indigenous Peoples Plan (IPP) has been developed for the project. The developed plan will guide the project components, ensuring equal distribution of project benefits between Indigenous Peoples/Ethnic Minorities and non-Indigenous Peoples/Ethnic Minorities who might be affected by the Project. To implement the IPP this OM will provide support to:

- a. screen project components early to assess their impacts on Indigenous Peoples and Ethnic Minority households;
- b. ensure participation and consultation with Indigenous Peoples/Ethnic Minorities living in the project locations in the process of preparation, implementation, and monitoring of project activities;
- c. ensure that Indigenous Peoples/Ethnic Minorities receive culturally appropriate social and economic benefits from the project;
- d. implement the mitigation measures to manage potential risks and adverse impacts on the Indigenous Peoples/Ethnic Minorities; and
- e. outline the monitoring and evaluation process of the review and implementation of the plan.

### **8.1. Process and Steps of Implementation**

- The PMU (Safeguard Team from PMU behalf) will be responsible for the implementation via the RP-NGOs and implementing agencies;
- The potential risks will be identified before implementation of any activities and mitigations measures will be implemented during the implementation of any activities;
- The Monitoring and Documentation Officer from RP-NGOs will have responsibility for regular inspections, maintaining records and reporting;
- A team comprising a representative from DWA and PMU will cross-check these inspections by undertaking quarterly audits, which would include a log of complaints and/or grievances together with records of any measures taken to mitigate the cause of the complaints and/or grievance; and
- One training event will be organized for the key staff members of the project.

## **9. CAPACITY DEVELOPMENT**

### **9.1. Provide Capacity Support to Field Staffs**

To implement this OM, the capacity development of RP-NGOs field level staffs, as well as representatives from implementing agencies, is required especially how to conduct a social and environmental assessment and how to implement the mitigation measures. The main users of this field guide will be invited for 3 days long 'training workshop' at Khulna. It will be a kind of practical exercise through which the participants will be able to clearly understand the process and steps and their role to implement this OM. The role and responsibilities of field staffs from RP-NGOs will be discussed and agreed, and through this process the document will be finalized. The content of the training will be focused but not limited to:

- social and environmental risks encountered on the specific subprojects;
- Social and Environmental Assessment Forms (**Annex – I and II**);

- training for community groups on the level of understanding of project-specific social and environmental issues;
- implementation of subproject specific mitigation measures before, during and after implementation of subprojects; and
- monitoring of mitigation measures, effectiveness and reporting.

### **9.2. Provide Capacity Support to Community Groups**

It is necessary to train community groups (*i.e.* WLGs and WUGs) on the general understanding of social and environmental concerns on activities/schemes, risk assessment and implementation of mitigation measures. It is also required to engage them in assessment and management. Therefore, it is recommended to organize separate training events for the community groups through which the participants will clearly understand and familiarize themselves with the process and steps. A simple booklet will be prepared in Bengali as a guiding tool for the community groups. The upazila level unit of RP-NGOs will organize the training, facilitated by the Union Supervisor/Monitoring Officer. The content of the training will be focused but not limited to:

- social and environmental issues encountered on the specific activities/schemes;
- social and environmental compliance monitoring forms (Annex I);
- implementation of subproject specific mitigation measures;
- monitoring of mitigation measures' effectiveness and reporting; and
- awareness on safe uses of drinking water.

### **9.3. Provide Awareness for Contractors/Vendors**

The capacity building target will also cover the contractors/vendors who will be hired by the project. It will mainly be focused on potential risks that may encounter by implementing activities/schemes; possible mitigation measures to address the risks and responsibilities of contractors/vendors in the implementation of mitigation measures.

## **10. MONITORING**

The monitoring will be focused on regular process monitoring and compliance monitoring linking with M&E system of the project. The process monitoring will be coordinated by the M&E team while the compliance monitoring will be coordinated by the Safeguard Team.

### **10.1. Monitoring the Process**

The process monitoring is to ensure that envisaged purposes of the project are achieved and result in desired benefits to the target population without adversely affecting environmental resources. It would provide a basis for evaluating the efficiency of the process involved with screening, categorization procedures, social and environmental risk assessment, mitigation and enhancement measures and suggest further actions that need to be taken to achieve the desired objectives. The Monitoring and Documentation Officer from RP-NGOs will be primarily responsible for doing the monitoring and reporting to the M&E officer of PMU quarterly. A checklist for monitoring and format for reporting will be provided by the M&E team.

### **10.2. Monitoring the Compliance**

The compliance monitoring is to check the effectiveness and review the extent of benefits from each activity/scheme after implementation of mitigation measures. The Safeguard Team will act as surveillance

to be moved to the activity/scheme sites fortnightly. They will randomly check the filled-up compliance monitoring form and triangulate with mitigations measures are implemented, will provide hands-on coaching to the Ward Facilitators, Union Supervisors/Project Officers, Market and Capacity Building Facilitators and Monitoring and Documentation Officers of RP-NGOs.

### **10.3. Updating Project Risk-log**

The safeguard team in coordination with the M&E team update the risk log quarterly. The findings of the field assessment is the basis for updating the risk log. If the safeguard team recommends to add any new risk, the Project Coordinator is responsible to review, approve and update in the system.

## **11. REPORTING**

A social and environmental checklist is to be completed at each work site by the relevant Union Supervisors/Project Officers and maintained within a register. The completed checklist will be forwarded to the Safeguard Team of PMU for review and follow-up if any issues are identified. The Project Managers of RP-NGOs will regularly submit quarterly reports. The Safeguard Team will compile the reports received from RP-NGOs and submit to the PMU quarterly.

For any incident that causes or has the potential to cause serious social and environmental harm, the Union Supervisor/Project Officer shall notify the Project Manager of RP-NGOs and Safeguard Team of PMU as soon as possible.



## **12. ANNEXURES**

## Annex – I

### Initial Social and Environmental Examination (ISEE) Form

(Applicable for Rainwater Harvesting System at Institutional and Community level and Pond-based Ultrafiltration System)

<b>Guideline:</b> The Safeguard Team from PMU would conduct this assessment in consultation with Chairman/Secretary of Water Management Committee before the implementation of relevant activity.						
<b>General Information</b>	Village		Ward No.		Union	
Upazila		District		Latitude: Longitude:		
<b>Name of Scheme</b>						
<b>Type of Scheme (√)</b>						
<input type="checkbox"/> Community-scale RWHS		<input type="checkbox"/> Institution-scale RWHS		<input type="checkbox"/> Pond-based Ultrafiltration System		

Indicators	Intensity			
	No Impact (Put √ Mark)	Negative Impact (Put √ Mark)		
		Low	Medium	High
1. Physical Environment				
1.1 Groundwater contamination				
1.2 Surface water contamination (by construction materials/rubbish/ debris)				
1.3 Water logging and drainage congestion				
1.4 Extensive damage due to extreme weather events				
1.5 The suitability of current roof condition of the structure as catchment				
1.6 Saltwater intrusion in the pond due to extreme weather events				
1.7 Soil erosion and siltation				
1.8 Production of waste/effluent				
1.8 Loss of agricultural land and topsoil				
1.10 Air pollution and dust level				
1.11 Noise pollution				
Mitigation Measures (if there is any negative impact)				
2. Biological Environment				
2.1 Removal of trees (mention how many)				
2.2 Damage of grassland				
2.3 Damage of wetland				

Indicators	Intensity			
	No Impact (Put √ Mark)	Negative Impact (Put √ Mark)		
		Low	Medium	High
2.4 Obstruction to natural flow of water				
2.5 Natural fish habitat				
2.6 Wildlife habitat				
2.7 Conversion of forest land or environmentally sensitive areas				
2.8 Impact on endangered species (i.e., wildlife, fish, plants, birds)				
2.9 Aquatic plants				
<b>Mitigation Measures (if there is any negative impact)</b>				
<b>3. Social Environment</b>				
3.1 Long-term conflict and Gender Based Violence (GBV)				
3.2 Impact on the longevity of the proposed solution (due to lack of O&M and technology failure)				
3.3 Community ownership (if not issued No Objection Certificate (NOC) / land agreement; or not having consent of all the owners in case of multiple ownership of the property)				
3.4 Impact on transport/transportation				
3.5 Impact on local gender norms				
3.6 Health risks to workers				
3.7 Playground and culturally sensitive installations				
3.8 Public Health and Safety				
3.9 Archaeological and Cultural Heritage				
3.10 Discrimination in access to water for extremely poor ethnic and religious minority groups				
<b>Mitigation Measures (if there is any negative impact)</b>				
<b>4. Overall comments and recommendations:</b>				

<b>Comments and recommendations of the President/Vice-president/Member of the committee:</b>		
<b>Name:</b>	<b>Signature:</b>	<b>Date:</b>

\_\_\_\_\_  
Name and Designation of the Evaluator

\_\_\_\_\_  
Signature and Date

## Initial Social and Environmental Examination (ISEE) Form

(Applicable for Crab Farming, Crab Nursery, and Crab and Fish Feed Processing)

**Guideline:** The Safeguard Team from PMU would conduct this assessment in consultation with Chairman/Secretary of WLG before the implementation of relevant activity.

<b>General Information</b>	Village		Ward No.		Union	
Upazila		District		Latitude: Longitude:		
<b>Name of Activity</b>						
<b>Type of Activity (✓)</b>						
<input type="checkbox"/> Crab Farming		<input type="checkbox"/> Crab Nursery		<input type="checkbox"/> Crab and Fish Feed Processing		

Indicators	Intensity			
	No Impact (Put ✓ Mark)	Negative Impact (Put ✓ Mark)		
		Low	Medium	High
1. Physical Environment				
1.1 Groundwater contamination				
1.2 Surface water contamination				
1.3 Water logging and drainage congestion				
1.4 Extensive damage due to extreme weather events				
1.5 Soil erosion, contamination and siltation				
1.6 Production of waste/effluent				
1.7 Impact on soil quality, its stability and compactness				
1.8 Loss of agricultural land, topsoil and soil fertility				
1.9 Air pollution and dust level				
1.10 Eutrophication				
1.11 Crab disease (due to higher stocking densities and poor water quality)				
Mitigation Measures (if there is any negative impact)				
2. Biological Environment				
2.1 Removal of trees (mention how many)				
2.2 Damage of grassland				
2.3 Damage of wetland				
2.4 Obstruction to natural flow of water				

Indicators	Intensity			
	No Impact (Put ✓ Mark)	Negative Impact (Put ✓ Mark)		
		Low	Medium	High
2.5 Fish habitat				
2.6 Wildlife habitat				
2.7 Conversion of forest land or environmentally sensitive areas				
2.8 Impact on endangered species (i.e., wildlife, fish, plants, birds)				
2.9 Aquatic plants				
2.10 Depletion of natural resources due to discharging of effluents from crab farms				
2.11 Depletion of fish stocks due to crab feed processing				
<b>Mitigation Measures (if there is any negative impact)</b>				
<b>3. Social Environment</b>				
3.1 Long-term conflict and Gender Based Violence (GBV)				
3.2 Profits of aquaculture interventions are controlled by local 'elites'				
3.3 Impact on transport/transportation				
3.4 Employment generation				
3.5 Impact on local market				
3.6 Impact on local livelihood				
3.7 Impact on local gender norms				
3.8 Health risks to workers				
3.9 Public health and safety				
3.10 Archaeological, Indigenous and/or and Cultural Heritage				
3.11 Discrimination in access to livelihood interventions for extremely poor ethnic and religious minority groups				
<b>Mitigation Measures (if there is any negative impact)</b>				
<b>4. Overall comments and recommendations:</b>				

<b>Comments and recommendations of the President/Vice-president of the WLG:</b>		
<b>Name:</b>	<b>Signature:</b>	<b>Date:</b>

\_\_\_\_\_  
Name and Designation of the Evaluator

\_\_\_\_\_  
Signature and Date

## Annex – II

### Social and Environmental Compliance Monitoring (Applicable for Plant Nursery, Homestead Gardening, Sesame, Aqua Geoponics and Hydroponics)

<b>Instruction:</b> 1. The Union Supervisor/Project Officer from RP-NGOs would conduct the monitoring 2. Please put tick (√) mark in the right place 3. The president/secretary/potential executive members from WLJ will be consulted during conduction the monitoring								
<b>General Information</b>	Ward No.		Union		Upazilla		District	
	Name of the Activities:							
	Geo-location:							

Category	Parameters	Please Put Tick Mark (√)		
		Yes	No	NA
1. Environmental Issue	1. Does the activity interrupt the natural flow of river, canal or any stream?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2. Does the activity increase the possibility of groundwater pollution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3. Does the activity increase the possibility of surface water pollution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4. Does the activity generate any solid waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5. If yes, is waste managed in environmental sound manner (e.g. not dumping to water bodies or land, burial disposal, pit burn, recycling/reuse etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6. Is the activity going to affect any ecologically sensitive/critical area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	7. Is the activity creating pressure on surrounded natural resources (pollution, over extraction of natural resource etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	8. Is there any chance of increase public health problem by throwing waste into open water?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	9. Is the activity going to affect any freshwater body by intrusion salinity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	10. Is the activity required to use any chemical?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	11. Is the activity going to convert any agriculture land, wetland, forest land and/or erode topsoil?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	12. Is the activity going to cause drainage congestion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	13. Is there any chance of tree cutting by the implementation of the activity? (If yes then please specify the number of trees cutting)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	14. Is there any chance of destruction natural habitat of biodiversity (fish, birds and animals) due to activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Category	Parameters	Please Put Tick Mark (v)		
		Yes	No	NA
2. Social Issue	15. Is the activity going to introduce any exotic or invasive species?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>Comments:</b>			
	1. Is there any chance of destruction of archaeological, religious and cultural heritage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2. Is there any chance of loss of employment of the people or lower down the living standard?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3. Is there any chance of gender discrimination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4. Is the activity located in an area where majority indigenous people live?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>If yes, please answer the following question</b>			
	5. Are the indigenous people involved in the planning and implementation of the activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6. Is there any chance of indigenous people be affected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	7. What are the feelings of indigenous people to the activity?	Positive <input type="checkbox"/>	Negative <input type="checkbox"/>	Not Any <input type="checkbox"/>
3. Other Issue	<b>If the answer is negative, please briefly describe the reason and mitigation measures:</b>			
	<b>Comments:</b>			
	1. Do you have received any training on Organic Cultivation methods, IPM or ICM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2. Is water quality monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3. Does the activity involve use of plastic materials? If yes, do you have plan to return to the supplier/vendor or sell to the shop for recycling?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>Comments:</b>			

<b>Signature of the President/Vice-president of the WLG/WUG:</b>		
<b>Name:</b>	<b>Signature:</b>	<b>Date:</b>

<b>Evaluation by Monitoring and Documentation Officer (MDO) of RP-NGO</b>		
The form is filled correctly or not (Please tick v mark)	Yes <input type="checkbox"/>	NO <input type="checkbox"/>
The form is filled reaching to the spot and meeting to the president/secretary of community groups (Please tick v mark)	Yes <input type="checkbox"/>	NO <input type="checkbox"/>
Comments (if any)		
<b>Review and approve by Project Manager of RP-NGO</b>	<b>Name of RP-NGO:</b>	<b>Signature:</b>



## Social and Environmental Compliance Monitoring

(Applicable for Household-based Rainwater Harvesting System)

**Guideline:** Union Supervisor/Project Officer from RP-NGO would fill up the form after his field observation at the beginning of the work and after performing the task in consultation with the concerned beneficiaries.

<b>General Information</b>	Ward No.		Union		Upazila		District	
Household ID:			Latitude:			Longitude:		

Serial #	Parameter	Yes	No	Not Applicable
<b>Social and Environmental Observations while Performing Tasks (Put 'v' mark at the appropriate place)</b>				
1.	Is there a proper plan at the site for managing waste that would be produced during the installation activity?			
2.	Is there a proper plan at the site for managing liquid waste and effluent during the installation activity?			
3.	Was there any tree cut down to prepare the site?			
4.	Is there any hanging canopy above the catchment?			
5.	Is the installed roof material and plumbing system strong enough to survive a disaster?			
6.	Is the water storage tank securely installed on the cement platform?			
7.	Is the base of the tank being placed high enough considering the highest flood level?			
8.	Are the female workers getting equal wage if employed for construction work?			
9.	Is there any child labor employed at the site?			
10.	Are the construction workers using proper personal protective equipment (PPEs)?			
11.	Is there any first aid kit reserved for workers at the construction site?			
<b>Comment:</b>				
<b>Social and Environmental Observations after Installation (Put 'v' mark at the appropriate place)</b>				
12.	Was the water quality test been conducted for fecal coliform as per DPHE standards?			
13.	What was the result? _____ no. /100ml			
14.	What measures have been taken if the water quality was not satisfactory?			
15.	Is the regular O&M being performed to ensure drinking water safety?			
16.	Is there any possibility of insects/pollutants entering the stored water tank?			

Serial #	Parameter	Yes	No	Not Applicable
17.	Have the beneficiaries been trained on water quality protection, O&M and hygiene?			
18.	Is there a "water safety plan" for water system to raise awareness of beneficiaries?			
19.	Are the beneficiaries paying monthly fees for maintenance of the installed system?			
20.	Is the water source currently working properly?			
<b>Comment:</b>				

<b>Comments of the beneficiary:</b>		
Name of the beneficiary:	Signature of beneficiary:	Date:

\_\_\_\_\_  
**Name of the Evaluator**

\_\_\_\_\_  
**Designation**

\_\_\_\_\_  
**Signature and Date**

## Annex – III

## Gender-responsive Coastal Adaptation (GCA) Project

## Form for Free Prior Informed Consent

Government of Bangladesh (GoB) with support from the Green Climate Fund (GCF) and United Nations Development Programme (UNDP) has launched a project titled – “Enhancing Adaptative Capacities of Especially Women to Cope with Climate Change Induced Salinity, popularly known as Gender-responsive Coastal Adaptation (GCA) project. The Ministry of Woman and Children’s Affairs (MoWCA) has led this Project, with technical support on the livelihood component by Department of Women Affairs (DWA) and safe water provision interventions from the Department of Public Health and Engineering (DPHE). This is a six years duration (2019-2024) project which will empower target communities, especially women to plan, implement, and manage resilient livelihoods and drinking water solutions.

You have been selected as a beneficiary of this project for xxxx livelihood / xxxx water intervention. Please read the following information about the intervention (if the beneficiary cannot read, the project staff will verbally brief her/him about the activity). Please ask the project staff if you have any question or concern. If you would like to participate in this project as a beneficiary, please sign/thumb print this document below

**1. Support that you will receive** (please put 'V' where applicable)

- ☐ Skills training, input and cash support for a selected number of fisheries and agriculture-based climate- resilient livelihoods and to promote market linkages for these livelihood options; and
- ☐ Drinking water solutions through Rainwater Harvesting System (RWHS) at the institutional, community and household levels and pond-based solution with Pond Ultrafiltration System at the community level.

**2. Your role and responsibilities** (please take support from project staff to write under others)

- Involve in the planning and decision-making process as well as implement the decision taken by your WLG/ WUG
- Implement the technical support that are provided by DWA, DPHE, project experts and other organizations from this project;
- Be accountable to your respective group, local government/administration and project authority
- Others i)..... ii) ..... iii).....

### 3. Restriction (strictly prohibited)

- Loss of biodiversity, threatened species, critical habitat, natural waterbodies, protected areas, natural ecosystem and ecology;
- Use of pesticides and chemical fertilizer for agricultural livelihood activities;

- Discharging wastewater/ effluent to the natural flow
- Collecting crablet from the natural stocks/forest areas
- Destruction of archaeological, religious and cultural heritage
- Any activities that may influence to decline water quality standard and public health

#### **4. Confidentiality**

Your privacy and personal information that you provided in this project is protected and without your prior consent that will not be disclosed to anyone. However, we may present your case and success stories in our publication, article and communication materials. If you agree, please check the box.

☐ I agree

#### **5. Contact Information**

If you have questions or concern at any time about this project, you may contact the project staff of your area at the following address:

Project Manager of Respective RP NGO

Office Address:

Cell Number:

#### **6. Consent**

I understood the provided information and have had the opportunity to ask questions. I agree to participate in this project as a beneficiary without any reservation.

.....

**Beneficiary's signature/thump print**

.....

**Date**

## Annex – IV

### Acknowledgement Receipt

Reg/memo no: . . . . . Name of Union: . . . . . Upazila: . . . . .

---

Name and Address of Complainant: . . . . .

Date of Complaint: . . . . . (dd/mm/yyyy)

Relevant Documents of the complaint: (petition, supporting documents etc.) 1) 2) 3) 4)

Summary of Complaint:

.....  
.....  
.....  
.....

---

Name and signature of person receiving the complaint: . . . . .

## Annex – V

### Detail Information of Information Service Officer (Tottho Apa) in GCA Project Locations

Contact Details (E-Mail and phone, if available)
<b>Information Service Officer, Assasuni, Satkhira</b> Mobile: 01313704299 Email: <a href="mailto:tsk.assasuni@totthoapa.gov.bd">tsk.assasuni@totthoapa.gov.bd</a>
<b>Information Service Officer, Shyamnagar, Satkhira</b> Mobile: 01313704304 Email: <a href="mailto:tsk.shyamnagar@totthoapa.gov.bd">tsk.shyamnagar@totthoapa.gov.bd</a>
<b>Information Service Officer, Dacope, Khulna</b> Mobile: 01313704255; 0402356107 Email: <a href="mailto:tsk.dakop@totthoapa.gov.bd">tsk.dakop@totthoapa.gov.bd</a>
<b>Information Service Officer, Koyra, Khulna</b> Mobile: 01313704253; 0402656028 Email: <a href="mailto:tsk.koyra@totthoapa.gov.bd">tsk.koyra@totthoapa.gov.bd</a>
<b>Information Service Officer, Paikgacha, Khulna</b> Mobile: 01313704256; 01739010680 Email: <a href="mailto:tsk.paikgasa@totthoapa.gov.bd">tsk.paikgasa@totthoapa.gov.bd</a>

## Annex – VI

### A prescribed template to register complaints

Case No.	Date of receiving complain	Channel of filing complain	Name of Complainant	Name of Father/Husband	Gender	Complete Address (with mobile no. and HH ID)	Main Complain	Complainants expectation	Previous records of similar grievances	Signature of complainants



## Annex – VII

### Complain resolved record

Case No.	Case No.	Channel of filing complain	Name of Father/Husband	Gender	Complete Address (with mobile no. and HH ID)	Brief Description of the Complain	Complain Resolved at which Level (Please put a v mark at the appropriate place)			Result
							Upazila Level GRMC	District Level Appeal Committee	PMU Level	

**Project Management Unit (PMU)**

Level 4, Unit 401, SEL Rose-N-Dale  
116, Kazi Nazrul Islam Avenue  
Dhaka-1000, Bangladesh

**Regional Office**

Level 3, Parijat, House 31  
Road 6, Sonadanga R/A (1st Phase)  
Khulna-90200, Bangladesh

**Gender-responsive Coastal Adaptation (GCA)**