**3.1 Concept note template for Climate Bridge Fund**

**- Template and Guidance note for writing the Concept note -**

**Instructions**

Please use the following template to describe your project idea. Participating organisations should consider that:

* The information requested below is sufficient for now and that no additional details (e.g., if the template only asks for your annual budget, a breakdown by donor is not required) and annexes (e.g., detailed budget, results matrix etc.) are necessary at this point
* The page limit should be kept and that neither the margins of the tables nor the font size should be changed.
* All concept notes are first checked against the Go/No-go Matrix.) If they fulfil all minimum criteria, they are ranked based on the quality of the concept note and the strength of the proposing organisation.
* Completed templates should be submitted to ***cbf.info@brac.net*** by (24 December 2023, Sunday),(11:59 pm) BST.

**Concept Note Template**

*Project title*

Submission date:

|  |
| --- |
| **Applicant Organisation Name:** |
| *Address:*  |
| *Contact Person:*  |
| *Email Contact Person:*  |
| *Contact Number:* |

##### Summary

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| --- |
| **Key information on planned project** |
| **Project title** | As usual |
| **Implementing organisation details** |
| **Lead organisation**  | As usual |
| **Partner organisation (if any)** | As usual |
| **Target location(s)** (City Corporation/ Municipality, Ward No., Slum name) | Applicants must have supporting documents (e.g., support letter from the municipality mentioning the ward and slum name where the support is required) from CC/Municipalities and slums selected must be recognized by CC/Municipality  |
| **Project start and end** | As usual  |
| **Total volume (BDT)** | As usual  |
| **Funding volume requested from Climate Bridge Fund (BDT)** | As usual |
| **Own contribution**  | As usual  |
| **Other source (if any)**  | As usual |
| **Outcome/s** | Changes you wish to bring via this project, particularly focusing on results achieved in terms of reducing climate vulnerability/enhancing resilience and ensuring gender responsiveness or gender transformativeness  |
| **Outputs** | The intended outputs e.g., name of certain services/products (all outputs must be linked to the outcomes as mentioned above) |

##### 2a The project – content information (6 pages max)

Please answer all the question and consider all the bullets while answering

| **Aspects** | **Your text** |
| --- | --- |
| **Context*** What are the local economic and social challenges that you want to address and what are main drivers of these challenges? Please focus on the local challenges associated with the climate change related drivers.
* How is the situation with regard to climate-induced migration in the selected slum?
* What are the specific challenges of women in the selected slum?
* What are the specific challenges in the slum in relation to gender inequality crosscutting climate change?
 | * Please mention about social (with particular focus on gender context), economic, and environmental challenges mainly related to climate change hazards in the target location(s)/communities.
* Please specify information regarding climate-induced migrants in selected slums
* Please highlight the specific challenges of women in the target communities/slums.
* Please be specific about the challenges faced by intersectional groups (e.g., women, pregnant and lactating women, people with disabilities, elderly, etc.) in context of the climatic hazards in the target location(s).
 |
| **Project idea*** Which are the main envisaged outputs?
* What are the main activities of the project that address needs/ problems of the vulnerable climate migrants/ vulnerable communities?
* Are all the proposed measures/activities going to reduce risks/vulnerability or enhance resilience of climate migrants and other vulnerable population in the project area (s)? If yes, please explain how each of the proposed measure/action reduce climate vulnerability of the targeted communities
* Will majority of the proposed measures address gender inequality in the project areas, especially in connection to climate change issues? If yes, please explain in each case how that will be done.
 | * Please mention your main objectives (at least one of them should include gender responsive or gender transformative approaches), outputs, and activities of the project.
* Please briefly explain how each of the proposed action/measure is expected to reduce climate vulnerability or enhance resilience of the target communities.
* Please highlight how the proposed measures address gender inequality and ensure inclusion of diversity.
 |
| **Beneficiaries*** What is the estimated number of direct beneficiaries/participants?
* What is the percentage of women?
* What is the percentage of climate migrant?
 | * Please mention the estimated number of the direct beneficiaries/participants here. Please disaggregate number of gender diversified beneficiaries by sex, age and disability and provide definitions of each classification. For example, Male (below 18 & above 18), Female ((below 18 & above 18), gender diverse individuals along with persons with disabilities.
* Please mention the percentage of women in the total target beneficiaries.
* Percentage of the climate migrants in the total target beneficiaries also need to be specifically mentioned here. The majority of the target group must be climate migrants.
 |
| **Relevance:*** How does the target group benefit from provision of sustainably operated climate resilience services and/or sustainably managed urban infrastructure?
* How does this lead to the strengthening of the resilience of vulnerable people, including especially women and people with disabilities impacted by climate change?
 | * Please mention benefits (social/economic/ ecological/infrastructural) of the targeted groups from the climate adaptation Services/climate adaptive solutions
* Please specify the provided services which will ensure community needs and reduce risks related to climate change. Additionally, it must also ensure increase in household access to services, especially for women and people with disabilities.
 |
| **Bridge Funding (A, B or C need to apply):**A **Extension of pilot projects*** In which project have the activities proposed here been successfully piloted?
* If this proposal is built on other donor funded project(s), How does the proposed project build on this experience? Please mention the name of the donor including the synergies you have brought in this proposal.

B **Innovation*** Please explain a convincing concept for self-sustaining operation and maintenance that could be scaled up at a later stage

C **O&M of infrastructure*** Please provide a convincing justification for the need for financing of existing infrastructure /services to achieve sustainability of Operations and Maintenance (O&M)
 | * Please note that applicants can select all three of the project types but need to choose at least one type. Score will depend on how feasible, innovative, climate adaptive, and sustainable the projects are.
* Please look at the specific category (A, B and C) and respond to the associated queries/bullet point(s) appropriately based on your proposed project type
 |
| **Community engagement*** How did you include priorities of the beneficiaries in the development of this project concept (e.g., it is based on an existing participatory needs assessment or a brief survey among beneficiaries, and their representatives (i.e., traditional leaders, CBOs etc.)
* If the priorities/needs of the beneficiaries have been identified from a consultation with target communities, please include minutes/short proceedings/report of the consultation along with signature and contact details of the participants as annex.
* What is your approach to engage with communities including men, women and gender diverse individuals, along with persons with disabilities to participate in the project?
 | * Please mention how (e.g., brief survey, FGDs, KIIs, community consultation and engagement) the priorities of the target beneficiaries have been set/identified for this concept note development.
* Please provide evidence of the consultations or relevant study.
* Please explain briefly how the target communities will be engaged in your project (by ensuring inclusion of intersectional group and person with disabilities).
 |
| **Governmental partner structures*** Please describe how the proposed project is planned and coordinated with the Municipality and/or Local Governments?
* How will you ensure the necessary ongoing government support to make the project successful if relevant?
 | * Please mention briefly how the City Corporation(s)/municipalities/LGIs of the associated target communities were engaged/coordinated with during planning and development of the proposed project idea/concept. Applicants must contact the CC/Municipality/LGIs on the planned project.
* Make sure to elaborate on:
* The specific role of the City Corporation(s)/municipalities/LGIs in different stages of the project.
* Who will ensure engagement/ coordination (and at what stage of the project) with communities?
* Nature of the support from CC/Municipality/LGIs in successful implementation of the project.
 |
| **Local partners/NGOs/CBOs*** Please describe if and how you plan to work with local partners/NGOs/CBOs?

If yes: please indicate names and internet addresses and specify their respective roles and responsibilities within project design. | * Involvement of local partners/NGOs/CBOs in the project implementation (if any). If yes please provide the details as indicated.
 |
| **Sustainability*** How will the project ensure maintenance in case of created infrastructure?
* What is the proposed way forward to secure operations after the end of the project?
* What is the legal situation of the slum at the current moment? Is there any risk of eviction of inhabitants in short (3 years), medium (3 to 9 years) or long-term (10 years)?
 | * Please briefly elaborate on how O&M of created infrastructure will be ensured in long-run in the project
* Please explain how the sustainability of the proposed infrastructure is planned.
* Please make sure that targeted slums are discussed with CC/Municipality and their support must be ensured as well. Any eviction risks need to be discussed with CC/Municipalities and mentioned here briefly
 |
| **Implementation modality** * Will you hire new staff to implement the project?
* Which measures do you propose to implement with own staff? Which ones will be implemented by a contractor?
* Do you apply specific technologies/ methods that you would like to mention?
 | * Please mention if applicants are hiring new staff for project, or involving contractors for any specific technologies
* Please mention separately which of the project measures will be implemented by own staff and by the contractors
* Please specify if applicants want to mention any specific method/measures for implementing the projects
 |
| Suggested key experts for the project (experience and qualification – no CV’s needed) | *E.g., Climate Change Adaptation Expert/ WASH Manager holding a Master with 5 years of experience in Adaptation/ WASH project management/ESHS expertise etc.*  |
| Other comments, if necessary |  |

##### 2b The project – financial information

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| --- | --- | --- | --- |
| **Items** | **Total costs** | **Required funding** | **Own contribution (NGO)** |
| **1) Direct cost for a specific activity of a project** |
| Output 1, output 2, output 3 etc.  |  |  |  |
| Cost for monitoring, evaluation and learning (MEL) |  |  |  |
| **2) Direct cost for several or all project activities** |
| Staff salaries, travel, office rent, office equipment, printing and stationeries, supplies and general expenses etc. |  |  |  |
|  |  |  |  |
| **3) Indirect costs** (max.10% of Climate Bridge Fund contribution) |
| e.g., Management team, Finance, HR, IT etc.  |  |  |  |
|  |  |  |  |
| **Total Budget** |  |  |  |

##### 3a Your organisation – general information (2 pages max)

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| **Aspects** | **Your text** |
| Name of Agency/ organization  | As usual  |
| Contact PersonName:Telephone:Mobile: Email:Website: | As usual |
| Legal status in Bangladesh  | Please mention if your organization has valid registration under NGO Affairs Bureau of the Government of Bangladesh |
| Number and locations of offices in Bangladesh | As usual |
| Start of operations in the field of urban development and/ or climate resilient services in slums | As usual |
| Start of operations in the proposed urban area/slum | As usual |
| Staff in Bangladesh (national/international) | As usual |
| Thereof based in the office close to the proposed project area | As usual |
| Annual Budget for Bangladesh (2019, 2020, 2021) in BDT | As usual |
| Size of current project portfolio (budget of all currently running projects) | As usual |
| Does your organisation have an Environmental and Social Policy and/or provisions/guidelines/standards for environmental and social management of projects including Stakeholder Engagement Plans? | As usual |
| Please confirm that your organisation has implemented at least two foreign financed projects in the past 5 years that have each at least the financial size of the submitted proposal (and show details in the [table below](#_3b_Your_organisation)) | Please mention at least two projects supported by any foreign donors in last 5 years. Each of the project must have similar financial size to that of the submitted project.  |
| Please confirm that your organisation or any of your partners are not listed on any national/ international sanction list. If this is not the case please name the concerned list.  | As usual |
| **Aspects** | **Your text**  |
| Please confirm that your organisation has published annual financial statements that are externally audited (cash flow, income and expenditure, balance sheet, etc.).  | As usual (please note that this will be checked by the CBF during due diligence) |
| Please confirm that your organisation has documented financial management rules | As usual (please note that this will be checked by the CBF during due diligence) |
| Please confirm that your NGO is internally audited. How frequently are such audits carried out? | As usual (please note that this will be checked by the CBF during due diligence) |
| Please attach the following documents to this concept note: * Official valid registration under NGO Affairs Bureau of Bangladesh
* Organizational chart
* Published and externally audited financial statements (incl. audit report)
 | As usual (please note that this will be checked by the CBF during due diligence) |
| Please confirm that you declare to respect the following BRAC policies: 1. BRAC Procurement Guidelines2. BRAC Child Protection Code of Conduct3. BRAC Gender Policy 4. BRAC Sexual Harassment Elimination Policy 5. BRAC Communications Policy 6. BRAC Environment and Social Safeguard Framework (ESSF)7. BRAC Safeguarding policy  | As usual (please note that this will be checked by the CBF during due diligence) |

##### 3b Your organisation – previous experience

Please use the following table to summarize up to five projects your organisation implemented within the last five years relevant to the project at hand. In particular, it should become apparent a) how much infrastructure/equipment/investment measures have been implemented with the project (e.g., rough budget share) and b) how the project supported innovations and best practices to bring improved livelihoods into the slums and to increase resilience to climate change based on a sustainable operation concept.

##### Guidelines:

* Organization having experiences in similar thematic area of the proposed project idea will be considered
* Area specific experiences will be a plus point
* Experience in both rural and urban can be put in the table but urban experiences will be prioritized. Please specifically mention if you have been or currently are implementing any project with GIZ or any other German funding support (This information is required for coordination purposes within the German financed projects only and prior experience of working with other German funds/ organisations will not add any value to the current proposal).
* Explain experiences with **Environment, Social, Health and Safeguard (ESHS)** implementation and measures taken for ensuring standard set for ESHS guidelines.
* Please mention how stakeholders were engaged and **grievances** were dealt with (policy/procedure)
* Experiences from partners organization can be used as well
* When writing about foreign fund experiences applicants can mention any of the experiences, it does not have to be necessarily on the same thematic are, however similar field experiences will serve as an advantage

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| **Name of the project** | **Start and end date** | **Donor** | **Name of urban area and slum** | **Budget (million BDT)** | **Activities relevant for the proposed intervention (max. 100 words per project)** | **ESHS measures taken** | **Grievance(s) dealt (policy and procedures)** |
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The information you have provided in this concept note will be verified during the due diligence process. Any wrong information shall impact on the selection of the concept note.

**Annex**

**3.1a Environmental and Social Screening**

### Environmental and social screening

**Implementing Partners shall apply BRAC’s Environmental and Social Framework (ESSF) As part of their concept note, they fill out an E&S Checklist and write a short review note on potential risk.**

The Environmental and Social Review Note (ESRN) shall be based on the Risk Rating Criteria (see table below)**.** An ESRN identifies potential environmental and social risks of a proposed project/programme and assesses the potential safeguard risks and their levels of significance on order to address them adequately by avoiding, mitigating or minimising them in a structured, consultative and planned manner. The Risk Rating Criteria shall relate the project to a risk category.A screening for determining the appropriate level of environment and social assessment shall be conducted in order to identify which of the thematic safeguard standards applies to the proposed project and to address them adequately by **avoiding, mitigating or minimising** them. For this purpose, a brief desk review is normally sufficient, additional consultations/ field visits might be needed only if there is important missing information or risks. When selected and verified by the Secretariat on the ground, E&S might be discussed if needed.

**The Risk Rating Criteria for the Climate Bridge Fund are oriented on the Risk Rating Criteria of the BRAC ESSF and harmonise requirements of:**

1. The Governments Environmental Conservation Rules from 1997 with Green, Orange-A, Orange-B and Red categories (see below)
2. Bangladesh Bank’s ERM risk rating approach
3. Criteria for classifying projects as Category A/B/C according to the Asian Development Bank’s Safeguard Policy Statement
4. Capacity of the project proponent to manage environmental and social risk

#### ****E&S Risk Rating Checklist****

|  |  |  |
| --- | --- | --- |
| **Risk Rating Criteria** | **Yes** | **No** |
| 1. Does the project have any pending compliance such as Location and Environmental Clearance based on its category (green, orange-A, orange-B, red) from the Department of Environment?
 |  |  |
| 1. Is the project located in the immediate vicinity (likely to cause adverse impact) of environmentally critical areas (national parks, wetlands, wildlife habitats, important bird areas, and protected areas)?

Ref: Draft Environmentally Critical Areas Rules, 2010  |  |  |
| 1. Does the project construction and/or operation lead to environmental impacts that are diverse, irreversible and/or unprecedented in nature?

Refer to IEE/EIA reports if available or Environmental Due Diligence (EDD) during site visit, to answer this question. |  |  |
| 1. Does the project require involuntary resettlement that results in loss of land or livelihood or physically displaces people?
 |  |  |
| 1. Is the project site on or in immediate vicinity of socially vulnerable or Indigenous People owned or occupied land and has the potential to cause an adverse impact on their culture and identity?
 |  |  |
| 1. Is the proposed project likely to increase vulnerability to climate change now or in the future and/or exacerbate climate change (by significant 6 greenhouse gas emissions)?
 |  |  |
| **E & S Capacity of the implementing partner organisation** *(applicable for BRAC itself when implementing organisation)* | **Yes** | **No** |
| 1. Does the partner/implementing organisation have a documented policy or framework on E&S Safeguard?
 |  |  |
| 1. Does the implementing organisation have dedicated human resource to address E&S performance?
 |  |  |
| 1. Has the partner/implementing organisation established and implemented Environmental, Health & Safety Management Systems and Social Accountability Systems and/ or Gender Policy for the Project SPV or in the parent company?
 |  |  |

**Question 1)** It refers to the Environmental Clearance Procedure from the Department of Environment of Bangladesh. According to that procedure, it is mandatory to obtain Environmental Clearance for each and every type of industry and project as per Bangladesh Environment Conservation Act, 1995 (Amended 2010). For the purpose of issuance of the obligatory Environmental Clearance Certificate, the projects and industrial units will, in consideration of their site and impact on the environment, be classified into four categories:

* Green
* Orange-A
* Orange-B
* Red

The Environmental Impact Assessment is to be done to issue a Location Clearance certificate and Environmental Clearance Certificate after reviewing the Environmental Impact Assessment by the Department of Environment. If your project has any pending compliance of the Department of Environment regarding the classification into one of these four categories or the submission of required documents you must mark this question with yes. The Department of Environment provides detailed information in the Environmental Clearance Procedure.

**Question 3)** If your project will have any of the below defined impacts, you must mark question 3) with yes.

**Diverse impacts** are impacts resulting on multiple (more than one) environmental and social (E&S) components as described in chapter 3.7 or receptors over a varying time and special scale. These can be activities which cause various medium-risk danger on the local communities e.g. increase in noise levels, large-scale adverse impacts on local air quality, generation of hazardous wastes, or have a sufficient large project size.

**Irreversible impacts** are impacts on E&S components that, in all practical terms are permanent in nature and cannot be reversed in spite of the removal of the causal stress factor. These can be changes in the use of natural resources with possible negative consequences for protected goods or changes in the use for local communities or indigenous people. Other impacts could be changes in the use of water resources with substantial changes in water regimes within ecosystems or in human utilisation. Irreversible impacts could also consist in the construction of infrastructure as streets or bridges that has impacts on the ecosystem e.g. if it alters the natural drainage or destroys habitats used by migratory birds.

**Unprecedented impacts** are impacts that are first of its kind in terms of available knowledge of their potential to cause harm to the E&S components and their effective mitigation. These impacts can consist of unprecedented interventions into the ecosystem and can entail various hazards for residents, e.g. the project site is located in a preserved area, the project leads to substantial water pollution, a damage of the landscape or noise pollution on an endangered faunal species in a geographical region where no prior studies are available on impact tolerance and response of the species.

#### ****Environmental and Social Review Note****

Please add a short explanation on the answer of the above checklist.

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### Risk level and requirements

**The Climate Bridge Fund will place a proposed project in one of three risk categories from low to moderate and high risk according to the Checklist/ ESNR.** The criteria follow the risk categories in the ESSF, p. 26. If the risk level is low, implementing partners apply standard good practices and no further steps are required. For moderate risk level, the implementing partner are asked to either develop good practices or a safeguard management plan. For high risk projects implementing partners have to do a full-fledged environmental and social impact assessment (ESIA) on the basis of which they develop a safeguard management plan. The Fund informs implementing partners about their risk level (low, moderate, high) and the required information that needs to be explained in the project proposals (about the steps/measures that will be taken during the project preparation and implementation).

|  |  |
| --- | --- |
| **Risk category**  | **Definition**  |
| **High Risk**  | Potential for significant negative impacts, possibly irreversible; requires full impact assessment / Environmental, Social Impact Assessment (ESIA) or comparable study to develop an effective safeguard management plan. For example, projects/programmes that involve significant quantities of hazardous substances are normally considered a priori as high risk. Every safeguard management plan should be carefully monitored and reported to the stakeholders during project implementation. **Based on Table 1: Risk Rating Criteria for ESRN above, if any question numbered 1 to 6 is answered as Yes, the Project E&S Risk is rated “High”.**  |
| **Moderate Risk**  | Potential for negative impacts, but those that are less significant in scale; some potential risks manageable through standard “good practice” during project implementation without a separate management plan; other potential risks requiring limited environmental, social or economic analysis to determine the potential impacts identified through the screening. These projects/programmes may need to develop a safeguard management plan to monitor and manage the identified risks. **If all the questions numbered 1 to 6 are a NO and at least one of the questions numbered 7 to 9 is a NO, then the E&S risk is moderate.**  |
| **Low Risk**  | Potential for negative impacts negligible; requires no further study or impact management. **If all questions numbered 1 to 6 are a No and all questions rated 7 to 9 are a Yes then the Project E&S Risk is rated as “Low”.**  |

### Principles and safeguards

**The Environmental and Social Framework (ESSF) is based on international standards. It includes two principles and seven safeguards.**

* **Precautionary approach.** a science-based precautionary approach is applied to its project and programme design and implementation. A project and programme approach should be science-based and must anticipate and address harm before it happens. Where there are threats of serious or irreversible damage, circumstances of not having hundred percent scientific certainties should not be used as a reason for avoiding cost-effective measures to prevent environmental degradation.
* **Human rights-based approach.** BRAC’s ESSF is founded on a human rights-based approach to project management, including the rights of future generations. This means that stakeholder engagements and public participation starting from project preparation to its closure should be based on the following procedural human rights principles:
1. **Equality and Non-discrimination.** All individuals are equal by virtue and there should be no discrimination in race, colour, sex, age, language, religion, political or other opinion, national or social origin, disability, property, birth or any other status.
2. **Participation and inclusion.** Every person is entitled to actively and freely participate in, contribute to, and enjoy any civil, economic, social, and cultural and political development in which human rights and fundamental freedom can be realised.
* **Biodiversity Conservation, Natural Habitats, and Sustainable Management of Living Resources.** BRAC will not support directly or indirectly any activity that will significantly convert or degrade critical natural habitats and will avoid significant conversion or degradation of habitats that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or recognised as protected by traditional local communities, where national legislation so allows.
* **Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes.** BRAC projects will explore technically and financially feasible approaches for the efficient use of energy, water, and other resources and materials in line with the concept of cleaner production and for using raw materials, energy, and water sustainably and in order to minimise GHG emissions.
* **Involuntary Resettlement.** BRAC projects and programmes will assess all viable alternative project designs to avoid, where feasible, or minimise the need for resettlement and will avoid promoting or endorsing forced evictions.
* **Indigenous People.** BRAC will avoid projects and programmes which undermine or inadvertently weaken the rights and livelihood of Indigenous People.
* **Labour and Working Conditions.** No child labour, no forced or trafficked labour. The implementing and executing partner will provide a safe and healthy working environment including measures to prevent and address harassment, intimidation, and/or exploitation, especially in regard to women and children and migrant workers.
* **Protection of Tangible Cultural Heritage.** A project or programme will avoid adverse impacts on critical tangible cultural heritage. BRAC-supported operations must be in compliance with relevant national law and the host country’s obligations under the Convention Concerning the Protection of the World Cultural and National Heritage.
* **Gender Equality.** BRAC will not support projects and programmes that result in unequal opportunity and treatment between women and men at national, regional and global levels and will avoid, minimise and/or mitigate any adverse gender differentiating impacts or risks from its projects and programmes as identified through the environmental, social and economic safeguard screening processes.