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**Detailed concept note for Targeted Support on Addressing Corruption Risks and Capacity Building on Social Impacts in Bangladesh**

1. **Introduction/ background**

The UN-REDD Programme‘s ‘Support to National Actions - Global Programme Framework Document 2011-2015  » defines targeted support as “All UN-REDD Programme partner countries are eligible to receive targeted support, depending upon availability of funds and capacity of the three agencies. In practical terms, targeted support means specific technical advice and other capacity strengthening support that a country may request on a critical REDD+ readiness aspect it has identified, which is not covered through other multilateral or bilateral initiatives and where the UN-REDD Programme has comparative advantage to provide such support.  Targeted support is intended to be small-scale, demand-driven, and technical or advisory in nature, and is provided to countries by the participating UN agencies in response to country needs. It can be provided in the form of backstopping of National Programmes, or other specific technical support under the Global Programme on a critical aspect of REDD+ readiness in a country, which is not available through National Programmes or through other initiatives.”

This note replaces the initial concept note provided on 22 March, 2012 and available [here] *(hyperlink on the* [*workspace country folder*](http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=181&Itemid=53) *to be added)*

**Type(s) of Targeted Support - Please select as appropriate**

❑ Funding for REDD + activities implemented at the national level in support of existing UN-REDD National Programmes

X ❑ Funding for REDD+ activities complementary to other nationally-defined REDD+ activities (national strategies, RPP and/or bilaterally funded REDD+ activities)

X ❑ Funding to support national counterparts in REDD+ partner countries to participate in capacity building that will benefit the implementation of national REDD+ activities

**Objective**

This proposal seeks to achieve the following objective:

“***To assess risks to a transparent, equitable and pro-poor REDD+ system that are posed by corruption and social impacts, so as to design effective risk mitigation measures, as a contribution to Bangladesh’s REDD+ Readiness Roadmap.***”

**Broad Criteria for Targeted Support: briefly describe :**

1. How is this targeted support consistent with the objectives of the UN-REDD Programme ?

The UN-REDD Programme’s strategy states that «Building a solid governance structure is fundamental for REDD+, the success of which depends on the country’s capacity to coordinate and collaborate with different governmental and non-governmental bodies, channel important amounts of funds, fight corruption [etc] ». It also lists the “number of national REDD+ strategies that include anti-corruption measures, such as a code of conduct, conflict of interest prohibitions, links to existing anti-corruption frameworks, protection for whistle-blowers [etc] as one indicator of success. Furthermore, Output 3.3. of the ‘Support to National REDD+ Actions: Global programme Framework Document” relates specifically to identifying and mitigating corruption risks in REDD+ and support the development of systems and capacities to do so.

The UN-REDD Programme’s strategy also states that under the work area “Transparent, Equitable and Accountable Management of REDD+ Payments” UNDP offers its expertise in supporting countries with assessing poverty and social impacts of policy change.

In August 2010, Bangladesh became a partner country of the UN REDD Programme, and in March, 2012, the Government of Bangladesh (GoB) requested Targeted Support from UNDP under the UN-REDD Programme. Since October 2011, UNDP and FAO have provided support to Bangladesh through the development of a REDD+ Readiness Roadmap, which was completed in April, 2012.

Concerning anti-corruption measures, the Roadmap notes that the newly enacted Right to Information Act and Anti Corruption Law can be utilized to ensure the adequate information on REDD+ schemes and to avoid ensure the accountability of various actors. Concerning social impacts, the Roadmpa notes that under the Environment Conservation (EC) Act and Rules (1997) “*provisions of Environmental Impact Assessment [EIA] in compliance of issues Environmental Clearance Certificate can be useful for preventing environmental and social impacts from any projects like REDD+*”. Furthermore:

“*Bangladesh will develop a set of nationally-appropriate standards to comply with REDD+ social and environmental safeguards, and a set of indicators to monitor performance against these standards, according to the following steps:*

1. *Review globally available REDD+ safeguards tools (e.g., SESA, REDD+ SES, SEPC, etc.) and any existing national policies relevant to safeguards (e.g., EIA), and their applicability and effectiveness for REDD+ in Bangladesh. The Safeguards WG will lead this work and will implement the review and other necessary activities. Based on the review, nationally appropriate REDD+ social and environmental standards (principles and criteria), in compliance with the Cancun Agreements, will be proposed and a validation process, as sanctioned by the RSF and REDD+ SC, will be conducted*
2. *Based on the principles and criteria in the standards, a set of indicators will be proposed by the Safeguards WG against which compliance with the social and environmental standards can be assessed. Suggested means of verification for each indicator will also be suggested as order to screen the indicators for their practicality.*
3. *Hold an extensive process of multi-stakeholder consultations on the national-level indicators. The consultation process will be designed by the Safeguards WG, on the advice of the RSF, and sanctioned by the REDD+SC. This consultation process can take place in different formats (meetings, email feedback, written statements, etc.)*
4. *Compilation of comments and feedback on the draft standard and national-level indicators and incorporation into a second draft document, along with clear indications of how and why each comment has (or has not) been addressed*
5. *A second round of multi-stakeholder consultations on the second draft*
6. *Official Endorsement of the National REDD+ social and environmental standards by the REDD+ SC. Based on the feedback from the second consultation period, the Safeguards WG will produce a final draft of the standards and indicators and submit it to the REDD+ SC for approval and adoption as a normative document for REDD+ in Bangladesh.*
7. *Confirm means of verification and develop information gathering methodologies (consultations, secondary data, statistics and survey) and a change monitoring approach through demonstration activities. The Safeguards WG will review any existing data collection mechanisms (e.g., national census, forest inventory, socio-economic and conservation studies of forest protection and management plans, etc.) in Bangladesh and consult with relevant stakeholders to develop methodologies for information gathering and a process for monitoring status change through demonstration activities.*
8. *Collect and analyze information against REDD+ Social and Environmental indicators using the methodologies identified, on a demonstration basis.*
9. *Consultation based on analysis results to identify risk mitigation and benefit enhancement measures. Pending clearance by the REDD+ SC, the Safeguards WG will undertake stakeholder consultations to discuss risks and potential benefits in order to recommend a strategy mitigation /enhancement of risks/benefits.*
10. *Link safeguards information into the central database and archiving system. The information generated and risks/benefits identified and monitored should be provided through a central database where all the other REDD+ information and data are collected and maintained.*

In the case of benefit distribution, Targeted Support providedthrough the UN-REDD Programme will complement support being provided through the “Poverty-Environment Initiative” (PEI), a joint programem implemented by UNDP and UNEP. For both UN-REDD and PEI, the primary implementing partner in the GoB is the Waternshed Management Division (WMD) of the Ministry of Agriculture and Forestry (MoAF).

1. **What is the expected contribution of this targeted support to national REDD+ efforts?**

Having completed its REDD+ readiness roadmpa, Bangladesh is now seeking support for its implementaiton. This support will likely come from a number of multilateral and bilateral sources. The GOB is seeking support from the UN-REDD Programme in a number of areas related to the UN-REDD Strategy, including anti-corruption and social impacts.

1. **How is it aligned with the agencies’ programming priorities for the relevant work areas?**

 UNDP, the lead agency on governance and anti-corruption as per the ‘Support to National REDD+ Actions: Global programme Framework Document”, has delineated a number of outputs that are in line with the activities suggested in this proposal. These include:

* Guidance on institutional frameworks for benefits distribution systems (BDS)
* Technical and policy support to countries
* Information on other existing transaction systems in the land-based sector to create synergies with REDD+ payments
1. **Activities and Workplan**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Result** | **Activity** | **Output and timeframe** | **Responsible party** | **Indicator(s) of success/impact** | **Funds – from UN-REDD)** | **Co- financing (please indicate amount and source)** | **Budget breakdown** |
| **Category** | **Amount** |
| Corruption risks in REDD+ in Bangladesh are analyzed  | Corruption risk assessment (CRA) for REDD-Plus implementation in Bangladesh | Assessment report finalized by end August | DOF | A small number of selected key government and non-governmental stakeholders, consulted for the elaboration of the report, formally agree to its preliminary conclusions | 10,000 | N/A |  |  |
| Personnel | 8,000 |
| Supplies etc.[[1]](#footnote-1) | 2,000 |
| Contracts | 0 |
| Other direct costs | 0 |
| Corruption risks are validated and prioritized | Conduct inclusive stakeholder consultation process through surveys, focus discussion groups, and/or workshops to validate and assess the likelihood of these risks actually occurring | Consultations completed by end September | DOF | Agreed list of most likely/impactful risks as an outcome of the consultation | 9,000 | N/A |  |  |
| Personnel | 3,000 |
| Supplies etc. | 6,000 |
| Contracts | 0 |
| Other direct costs | 0 |
| Action plan is developed and agreed to by GOB (DoF) | Craft corresponding programmatic and policy recommendations that will address the identified risks  | Action plan delivered by end October | DOF | Action plan is endorsed by government and roles and responsibilities are clearly delineated and agreed to | 10,000 | N/A |  |  |
| Personnel | 8,000 |
| Supplies etc. | 2,000 |
| Contracts | 0 |
| Other direct costs | 0 |
| Review produced of globally available REDD+ safeguards tools and existing national policies relevant to safeguards and their applicability and effectiveness for REDD+ in Bangladesh | Analysis of existing social safeguards and existing elements of the legal framework in Bangladesh; development of proposal for assessment of social impacts | Assessment report finalized by end August | DOF | N/A | 10,000 | N/A |  |  |
| Personnel | 8,000 |
| Supplies etc. | 2,000 |
| Contracts | 0 |
| Other direct costs | 0 |
| Stakeholder-endorsed Indicators for social impact assessment  | Develop proposal and conduct stakeholder consultation process through surveys, focus discussion groups, and/or workshops to validate policy and institutional issues identifed | Consultations completed by end September | DOF | Agreed set of indicators and assessment methodology as an outcome of the consultation | 11,000 | N/A |  |  |
| Personnel | 3,000 |
| Supplies etc. | 6,000 |
| Contracts | 0 |
| Other direct costs | 2,000 |
| Mapping of REDD+ stakeholders and assessment of systemic, institutional and individual capacity development needs for implementation of measures to mitigate corruption risk and address social impacts  | Undertake stakeholder mapping and assessment (through literature review, focus discussion groups and workshops) of capacity development needs; and prepare timebound and costed capacity development plan supported by measurable indicators | Capacity needs assessment and plan delivered by end October | DOF | Capacity assessment reports and capacity development action plan endorsed by government | 15,000 | N/A | Personnel | 10,000 |
| Supplies etc. | 4,000 |
| Contracts | 0 |
| Other direct costs | 1,000 |
| Initial capacity for implementation of measures to mitigate corruption risk and address social impacts | Priority measures for capacity development identified in CD plan delivered | Priority measures implemented by end of February, 2013 | DoF | Change in indicators of capacity | 45,000 |  | Personnel | 20,000 |
| Supplies etc. | 8,000 |
| Contracts | 15,000 |
| Other direct costs | 2,000 |
| **Total**  |  |  |  |  | 110,000 |  |  |

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**UN-REDD Programme: Targeted Support to Bangladesh**

**TOR for National Consultant on Development of Anti-corruption Measures (REDD+ Cell, Forestry Department)**

**Bangladesh National REDD+ Readiness Process**

1. **Background**

Corruption hinders efforts to achieve the MDGs by reducing access to services and diverting resources away from investments in infrastructure, institutions and social services. Success in meeting the MDGs will therefore largely depend on the ‘quality’ of governance and the level of effectiveness, efficiency and equity in resource generation, allocation and management.

Under the UN framework Convention for Climate Change (UNFCCC), REDD+ (reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forest and enhancement of forest carbon stocks) is an international financial mechanism that will compensate developing countries for cutting carbon emissions from their forest sector, through the conservation of standing forests and more sustainable forest activities. REDD+ was first proposed as part of the UNFCCC Bali Action plan in 2007, and in December 2010 an agreement on a general REDD+ framework was reached by Parties to the UNFCCC in Cancun. Developing countries are getting ready for REDD+ with bilateral and multilateral support, including the UN-REDD Programme[[2]](#footnote-2).

While REDD+ is attracting momentum and interest, concerns are also being raised because REDD+ countries often face a number of governance challenges, inside and outside the forestry sector. The overall risks of corruption in REDD+, and possible mitigation measures for these risks, were examined during a workshop organized by UNDP with GTZ (now GIZ) at the 14th International Anti-corruption Conference in Bangkok in November 2010. These risks and strategies were also detailed in a UNDP-commissioned report[[3]](#footnote-3) in November 2010, and addressed in Transparency International’s Global Report on Corruption in Climate Change, among other reports. In 2011 the UN-REDD Programme, UNDP’s Global Programme on Anti-Corruption for Development Effectiveness (PACDE) and the Asia Pacific Regional Centre organized two regional workshops in Nepal and Thailand, targeting anti corruption and REDD+ practitioners, to raise awareness on the risks of corruption specifically associated with REDD+ in Asia and the Pacific countries and on tools and approaches to counter these risks.

The UN-REDD Programme has integrated activities on anti-corruption as a core element of its five-year Programme Strategy[[4]](#footnote-4), supported by its Global programme Framework Document 2011-2015[[5]](#footnote-5), with UNDP the lead agency. These activities are implemented together with PACDE . They include guidance on institutional frameworks for equitable, transparent and accountable benefit distribution systems in REDD+; strengthening the integrity of fiduciary systems for receiving and disbursement of funds, coordinating anti-corruption activities at the national, regional and international level; and supporting the capacity of multiple stakeholders to jointly mitigate corruption risks.

The UN-REDD Programme is supporting Bangladesh through a package of Targeted Support activities to be completed in 2012. Under the UNDP component of these activities, the focus is on the development of anti-corruption measures. This will build on activities and analyses already undertaken by the UN-REDD Programme in Asia-Pacific on this issue. Since one of the objectives of the UN-REDD Programme is to learn lessons that may be more widely applicable, activities undertaken in Bangladesh will be coordinated with similar activities in other countries in South Asia.

1. **Objective of consultancy**

The Objective of the consultancy is to develop proposals that will ensure that the initial National REDD+ Strategy in Bangladesh incorporates effective measures to address REDD+ corruption risks that fully reflect national and international requirements.

1. **Tasks to be performed**

In order to achieve the stated Objective, the following indicative activities are anticipated:

1. Work with the UN-REDD Regional Advisor, UNDP Regional Anti-Corruption Specialist and UNDP Global Specialist on anti-corruption and REDD+ to ensure coordination and methodological consistency of the activities undertaken in Bangladesh with those undertaken in Bhutan and Nepal so as to allow for comparative data and generate lessons from analyses undertaken in Bangladesh;
2. Develop a contextualized corruption risk assessment methodology building on existing frameworks/tools including UN REDD programmes, TI’s Forest Governance Integrity Risk Assessment manual, etc. in consultation with national UN REDD and the Bangladesh Anti-Corruption Commission.
3. Plan and undertake an assessment of corruption risks for REDD+ in Bangladesh, with inputs from key forestry, REDD+ and anti-corruption practitioners in the country, including local communities living in forest areas;
4. Prepare an initial report on corruption risks, including initial proposals for measures to mitigate those risks;
5. Design and implement wide stakeholder consultation process, including a number of sub-national workshops (nominally three), leading to a national consultation workshop, to review and validate the results of the initial assessment;
6. Based on results from the consultation, prepare a final report (for circulation to all stakeholders) that includes: a prioritized list of corruption risks in REDD+ in Bangladesh; proposed measures to mitigate the risks that have been identified as most likely and most detrimental in the short, medium and long term; a preliminary budget and identified responsibilities for implementation of those measures; and extracting lessons that may be applicable in other countries.
7. **Output**

The outputs will consist of:

1. A preliminary report (under activity 3, above) to be used as the basis for broad consultation
2. A final report, incorporating feedback generate through the consultation process, describing corruption risks, proposed measures to mitigate those risks; a preliminary budget for implementation of those measures; and extracting lessons that may be applicable in other countries.
3. **Duration and timing**

The national consultant will contribute 60 working days to this work, commencing in July, 2012. The first output will be due after 35 working days, and the second output after 55 working days, with an additional 5 days for final revisions and other activities.

1. **Qualification**

The consultant requires an advanced degree in social science field and a degree or extensive experience in natural resources management is highly desirable. The priority will be given to a consultant with relevant experience in practice or research in the area of participatory management of forests or other natural resources. Demonstrated ability in conducting and managing risk assessments preferably related to corruption, integrity, etc. in the environment sector is an asset.

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**UN-REDD Programme: Targeted Support to Bangladesh**

**TOR for National Consultant on Social Impact Assessment (REDD+ Cell, Forestry Department)**

**Bangladesh National REDD+ Readiness Process**

1. **Background**

A representative definition of social impacts is:

“*The consequences to human populations of any public or private actions that alter the ways in which people live, work, play, relate to one another, organize to meet their needs and generally cope as members of society. The term also includes cultural impacts involving changes to the norms, values, and beliefs that guide and rationalize their cognition of themselves and their society*” (National Maritime Fisheries Service 1994 : http://www.nmfs.noaa.gov/sfa/social\_impact\_guide.htm).

Social impacts may therefore include impacts on:

* People’s way of life – how they live, work, play, and interact on a day-to-day basis;
	+ Their culture – their shared beliefs, customs, values, and language or dialect;
	+ Their community – its cohesion, stability, character, services, and facilities;
* Their political systems – the extent to which people participate in decisions that affect their lives, the level of democratization that is taking place, and the resources provided for this;
* Their environment – the quality of the air and water people use; the availability and quality of the food they eat; the level of hazard or risk, dust, and noise they are exposed to; the adequacy of sanitation, their physical safety, and their access to and control over resources;
* Their health and wellbeing – health is a state of complete physical, mental, social, and spiritual wellbeing, and not merely the absence of disease or infirmity;
* Their personal and property rights – particularly whether people are economically affected, or experience personal disadvantages which may include a violation of their civil liberties;
* Their fears and aspirations – their perceptions about their safety, their fears about the future of their community, and their aspirations for their future and the future of their children.

The process of impact assessment is further defined by the IAIA (2009) as “*the processes of analyzing, monitoring, and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by those interventions. Its primary purpose is to bring about a more sustainable and equitable biophysical and human environment*" (<http://www.iaia.org/>).

While REDD+ is attracting momentum and interest, particularly given the potential for forest conservation and sustainable manage to confer environmental, economic and social benefits, concerns are also being raised because several potential negative social impacts have been idintified. These include the potential for the large financial rewards that REDD+ offers serving to “re-centralize” forest governance so as to benefit those in authority, and

An assessment of social impacts of REDD+ should draw on developing a theory of change for those impacts. This incvolves eight main steps, as follows:

* Identify and prioritize the main social issues likely to arise through REDD+ implementation (focal issue problems).
	+ Describe the focal issue problem and the desired result or future condition for each focal issue.
* Undertake a diagnostic analysis or problem flow diagram of each focal issue problem.
* Develop a flow diagram using cause-and-effect logic to show how the desired result will be achieved.
* Identify causal chains from REDD+ implementation strategies or activities to short-term outputs, from outputs to outcomes, and from outcomes to impacts, and using a cause-and-effect logic that makes sense in forward and in reverse.
* Identify key risks and assumptions along these causal chains.
* Identify any potential negative impacts on stakeholder groups or the environment along the causal chains – possibly at points in the chain where the assumptions are less robust.
* Develop IF … THEN statements linking the project activities, outputs, outcomes and impacts, incorporating the key assumptions or risks.

These IF … THEN statements constitute the theory (or theories) of change ; Sources: Conservation Measures Partnership 2007 : http://www.conservationmeasures.org/wpcontent/

uploads/2010/04/CMP\_Open\_Standards\_Version\_2.0.pdf; GEF Evaluation Office and Conservation Development Centre 2009 : http://www.thegef.org/gef/node/2096; ISEAL 2010 : http://www.isealalliance.org/resources/p041-impacts-code-of-good-practice; USAID 2006[[6]](#footnote-6).

1. **Objective of consultancy**

The Objective of the consultancy is to develop proposals that will ensure that the initial National REDD+ Strategy in Bangladesh incorporates effective measures to assess and report on social impacts of REDD+ that fully reflect national and international requirements.

1. **Tasks to be performed**

In order to achieve the stated Objective, the following indicative activities are anticipated:

1. Work with the UN-REDD Regional Advisor, and UNDP Global Specialist on social safeguards and REDD+ to ensure coordination and methodological consistency of the activities undertaken in Bangladesh with those undertaken in other countries so as to allow for comparative data and generate lessons from analyses undertaken in Bangladesh;
2. Review social impact assessment methodologies current used in the forest and other sectors in Bangladesh and state-of-the-art methodologies used in other countries.
3. On the basis of this review, develop a social impact assessment framework, consisting of a set of proposed indicators and associated methodologies, building on existing frameworks/tools in consultation with the REDD+ Cell and other partners.
4. Prepare an initial report on social impact assessment for REDD+, including initial proposals for measures to assess and report on impacts;
5. Design and implement wide stakeholder consultation process, including a number of sub-national workshops (nominally three), leading to a national consultation workshop, to review and validate the results of the initial assessment;
6. Based on results from the consultation, prepare a final report (for circulation to all stakeholders) that includes: a prioritized list of social impact indicators for REDD+ in Bangladesh; proposed methodologies for assessment and reporting on those indicators; a preliminary budget and identified responsibilities for implementation of those measures; and extracting lessons that may be applicable in other countries.
7. **Output**

The outputs will consist of:

1. A preliminary report (under activity 4, above) to be used as the basis for broad consultation
2. A final report, incorporating feedback generate through the consultation process, describing proposed indicators and methodologies; a preliminary budget for implementation; and extracting lessons that may be applicable in other countries.
3. **Duration and timing**

The national consultant will contribute 60 working days to this work, commencing in July, 2012. The first output will be due after 35 working days, and the second output after 55 working days, with an additional 5 days for final revisions and other activities.

1. **Qualification**

The consultant requires an advanced degree in social science field and a degree or extensive experience in natural resources management is highly desirable. The priority will be given to a consultant with relevant experience in practice or research in the area of participatory management of forests or other natural resources. Demonstrated ability in conducting and managing risk assessments in the environment sector is an asset.

1. Supplies, commodities, equipment and transport [↑](#footnote-ref-1)
2. The UN-REDD Programme is a partnership of FAO, UNDP and UNEP, established in 2008. See www.un-redd.org [↑](#footnote-ref-2)
3. « Staying on Track : Tackling Corruption Risks in Climate Change”, UNDP, 2010. Available at http://www.unredd.net/index.php?option=com\_docman&task=doc\_download&gid=3790&Itemid=53 [↑](#footnote-ref-3)
4. Five Year Strategy, UN-REDD Programme, 2011-2015. Available at http://www.unredd.net/index.php?option=com\_docman&task=doc\_download&gid=4598&Itemid=53 [↑](#footnote-ref-4)
5. « Support to National REDD+ Action : Global Programme Framework Document – 2011-2015 », UN-REDD Programme, 2011, Available at http://www.unredd.net/index.php?option=com\_docman&task=doc\_download&gid=5534&Itemid=53 [↑](#footnote-ref-5)
6. USAID. 2006. Impact Assessment Primer Series. Assessing the Impact of New Generation Private Sector Development Programs. Washington, DC: United States Agency for International Development. [↑](#footnote-ref-6)