



Safeguards, Standards and Safeguard Information Systems

Session 9

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What is a safeguard?

- Policy or process to prevent or mitigate identified risks. i.e., “do no harm” approach.
- Some safeguards aim to promote positive outcomes, i.e., “do good”
- Safeguards may be accompanied by required management plans.
- Safeguards may be set up with grievance and redress procedures

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Types of safeguards

- **Safeguards:** measures to protect against, or minimize, social and environmental damage or harm.
- Different types:
 - ✓ Policies to minimize harm and/or increase benefits
 - ✓ Monitoring for compliance with safeguards and grievance procedures
 - ✓ Safeguards may focus on process or outcome
 - ✓ Safeguards may specify criteria or standards to be met, i.e. to decide whether or not to invest, and what, if any, mitigation measures, are required
 - ✓ Social and environmental safeguards may be separate, i.e., social safeguards, environmental safeguards, or integrated (social & environmental)



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Safeguards vs. standards

- Confusion of safeguards vs. standards, often terms are used interchangeably
- Often confused with principles, criteria, co-benefits, multiple benefits
- Some “safeguards” are really more general principles or guidance than explicit policies or procedures

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What is a standard?

- A standard is a defined and measurable level of performance that must be achieved in relation to a particular criterion
- Standards may be enforced through audits
- Standards are often structured into hierarchical principles, criteria and indicators that aim to demonstrate positive performance.

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Voluntary SES Standards

- Climate, Community and Biodiversity Alliance (CCBA): CCB Standards – project level
- REDD+ SES Standards: CCBA and Care International – govt.-led REDD+ program level
- Certification standards for various commodities—forest certification, biofuels, palm oil, soybeans, others



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Safeguards or Standards ?

- We may need both safeguards (policies) and also (performance) standards

For example:

- Automobile emissions policies (laws or regulations)
- Standards = specific level of emissions to be in compliance with regulations



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UNFCCC Cancun Safeguards



The 7 UNFCCC REDD+ Safeguards, agreed in Cancun in 2010, are the internationally-agreed minimum requirements:

- a) actions consistent with the objectives of **national forest programs**;
- b) transparent** and effective national forest **governance** structures;
- c) respect for the **knowledge and rights** of indigenous peoples and members of local communities;
- d) the full and effective **participation of relevant stakeholders**, in particular, indigenous peoples and local communities;
- e) actions are consistent with the **conservation of natural forests** and **biological diversity**;
- f) actions to **address the risks of reversals (i.e., permanence)**;
- g) actions to **reduce displacement** of emissions (*i.e., leakage*).

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UNFCCC Cancun Safeguards

- Cancun safeguards have been categorized as:
 - Governance Safeguards
 - Social Safeguards
 - Environmental Safeguards
 - Carbon Safeguards
 But actually these categories overlap...
- UNFCCC text also refers to the importance of gender issues, land tenure, and other social and environmental issues
- In 2011 UNFCCC agreed that the UNFCCC safeguards will apply to all types of REDD+ financing.

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Other Safeguards: World Bank

- Project-level World Bank **Operational Policies** on Indigenous Peoples, Involuntary Resettlement, Forestry, etc., & corresponding **management plans**
- **Grievance** procedures: WB Inspection Panels
- WB safeguards (or their equivalents) being used by the Forest Carbon Partnership Facility (FCPF), Forest Investment Program (FIP), and Global Environment Facility (GEF)
 
- **Assessment** adapted from project-level to national-level programs through Strategic Environmental and Social Assessments (SESAs) and Environmental and Social Management Frameworks (ESMFs)

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Other Safeguards: UN-REDD

UN-REDD
PROGRAMME

- **Human-rights based approach (HRBA)**, drawing upon international conventions
- UN-REDD safeguards are known as Social and Environmental Principles and Criteria (SEPC)
- UN-REDD has developed **guidance** for its work, with the Benefits and Risk Tool (BeRT), guidance on stakeholders, FPIC, and governance
- SEPC and guidelines only apply to UN-REDD supported REDD Readiness phase activities

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Multilateral REDD+ Support: Partner Countries

Country	UN-REDD	FCPF	FIP
Cambodia	✓	✓	
Indonesia	✓	✓	✓
Lao PDR	x	✓	✓
Malaysia	x		
Papua New Guinea	✓	✓	
The Philippines	✓	*	
Thailand		✓	
Viet Nam	✓	✓	

✓ = support x = new partner * = spontaneous submission

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Other Safeguards: Other donors, national governments, NGOs

- **Bilateral donors** generally do not have REDD+ specific safeguards, but they may have general policies for their programming
- **National-level safeguards and related policies and legislation**, such as regarding stakeholder consultation, rights of various ethnic groups, indigenous peoples, and women, environmental safeguards, etc.
- **Some NGOs** have collaborated to develop safeguards for REDD+, such as the civil society initiative in Brazil, work of HuMa in Indonesia

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Safeguards, Standards, & Social Issues

Safeguards or Standards System >	UNFCCC	Multilaterals			Bilaterals			NGOs or Int'l. Organizations		Other		Summary (number)							
		FCPF Readiness Fund	FCPF Carbon Fund	FIP	UN-REDD	GEF	Germany	Norway	Australia	CCBS	REDD+ SES	Brazilian CSOs	HuMa	CBD	WWF Meta+	Primary issue	Secondary issue	TOTAL	
International Conventions	X			(x)	X	(x)													
Property Rights	(x)	X		(x)	X				X	X	X	X	X	X	X	8	2	10	
Stakeholder Participation	X	X		X	X	(x)			X	X	X	X	X	X	8	1	9		
• Right to information											X	X	X	X	2	2	2		
• Representation		X			X					(x)		X	X	X	4	1	5		
Indigenous Peoples' Rights	(x)	X		(x)	X	(x)			X	X	X	X	X	X	7	4	11		
• Free Prior Informed Consent		X			X	(x)					X	X	X	X	5	1	6		
• Respect culture & indigenous traditional knowledge	X				X					(x)	X				3	1	4		
Gender	(x)			X	X				X	(x)					2	2	4		
Poor and Vulnerable Groups				X	X				X	X	X	X	X	X	4	4	4		
Equitable Benefit Sharing				(x)	X				X	X	X	X	X	X	7	1	8		
Enhanced Livelihoods	(x)	(x)		X	X	(x)			X	X					4	3	7		
• Poverty alleviation									X						1		1		
• Climate change adaptation	(x)								X	X	X				3	1	4		
Avoided Resettlement		X			X	(x)			X	X		X	X	X	4	1	4		
Recourse/Grievance Mechanisms		X			X				X		X				2	2	2		
Monitoring, Reporting		X			X					X					4	4	4		
Good Governance	X	X			X										1	1	1		
• Fiduciary integrity					X										1	1	1		
• Uphold national laws	X								X	X	X		X	X	5	5	5		
• Labor standards											X				1	1	1		

X = Strong mention or relevance (x) = weaker mention or relevance

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Social Issues: Some Key Findings of Comparative Analysis

- No existing system of safeguards or standards covers the full range of social issues in REDD+.
 - Some social issues better covered, i.e., stakeholder engagement, rights of indigenous peoples
 - Other social issues less commonly explicitly mentioned, i.e., gender, land and resource tenure, grievance mechanisms, etc.
- Need for consolidation (common approaches) and simplification
- Safeguard policies and processes need to be more explicitly linked with standards with clear criteria and indicators
 - for design, implementation, and monitoring

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Environmental and Biodiversity Safeguards

- Ongoing work on environmental and biodiversity safeguards, especially in relation to the Convention on Biological Diversity (CBD), and many other processes, and to link this work with the REDD+ Cancun safeguards
- Building on national safeguards and other processes, such as national Environment Impact Assessment requirements

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Safeguard Information Systems

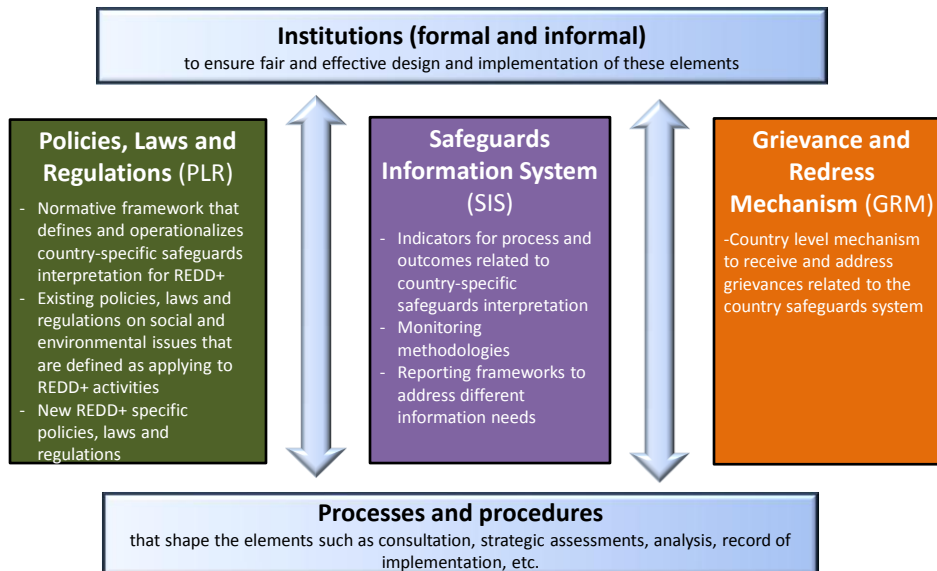
- Reporting guidelines on Safeguard Information Systems (SIS) are still under discussion by UNFCCC
 - Cancun asked SBSTA to develop guidance
 - Possible provision of information linked to national reporting to UNFCCC
- Voluntary reporting systems → not required MRV of social and environmental safeguards
- Some countries now developing their own national-level SIS, with support from development partners
- Other ongoing information systems work, i.e., FAO
- Work of REDD+ SES, FCPF, UN-REDD, WRI

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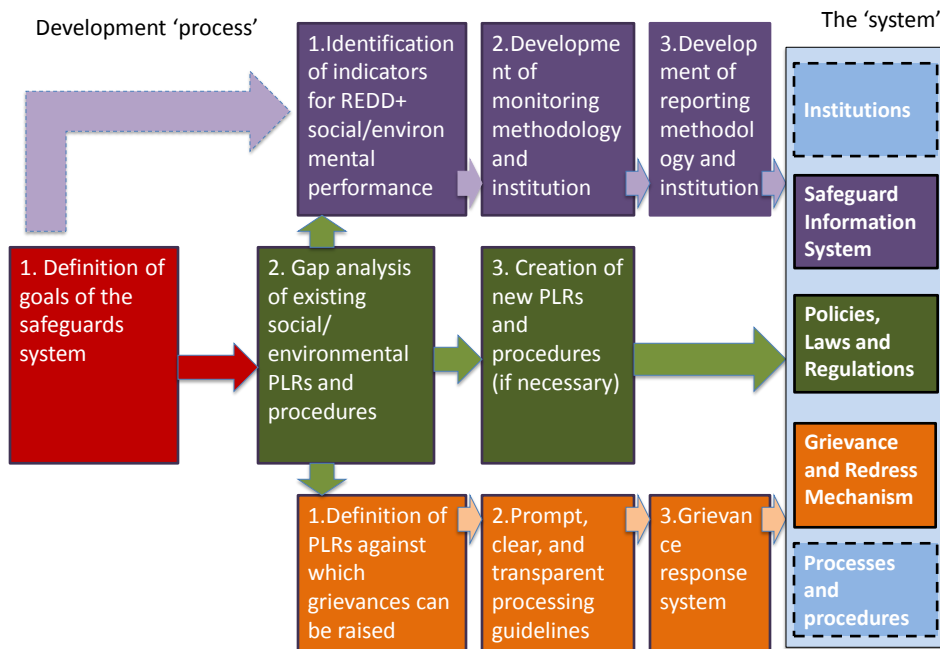
One Approach to Development of Country Safeguard Systems, including Safeguard Information Systems

**MODEL BEING DEVELOPED BY
REDD+ SES, WRI, FCPF, AND UN-REDD**

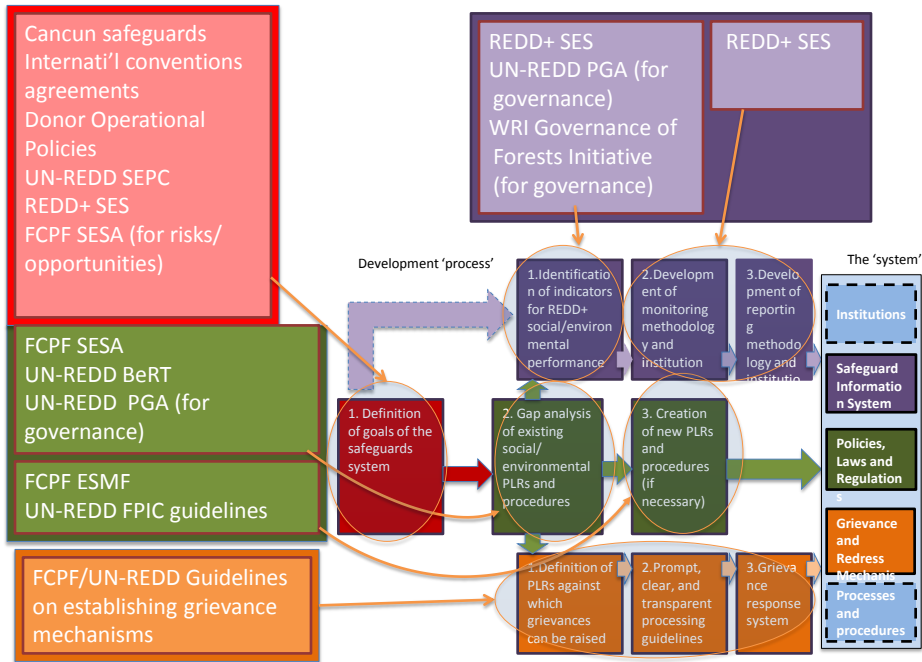
Potential Elements of a Country Safeguards System for REDD+



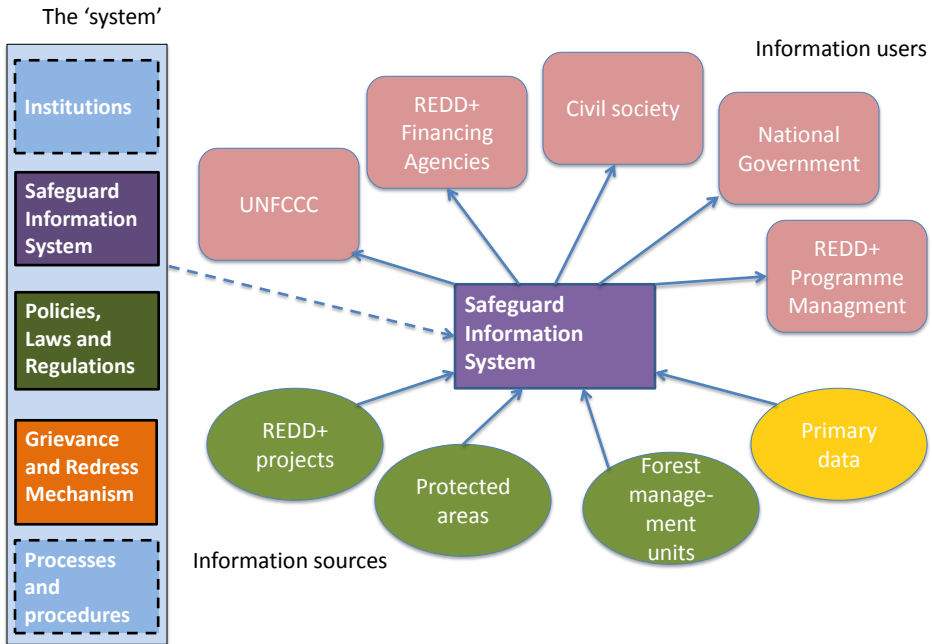
Main steps for development of a country safeguards system



Potential international inputs into the development of a country safeguards system



A Safeguards Information System: sources and users





Country-relevant Safeguards, Standards & SIS

- What do you think of this model?
- What are the challenges for countries to determine their own safeguards, standards, and SIS?
- How can they build upon existing systems?
- What approaches are working best?
- Where can we learn and improve?
- For developing a Safeguards Information System (SIS)
What types of indicators and data are useful?

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