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
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)

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
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.

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
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

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).
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.

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)
Other Safeguards: UN-REDD

- 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

<table>
<thead>
<tr>
<th>Country</th>
<th>UN-REDD</th>
<th>FCPF</th>
<th>FIP</th>
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<tbody>
<tr>
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<td>The Philippines</td>
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<tr>
<td>Viet Nam</td>
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</table>

✓ = 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**

<table>
<thead>
<tr>
<th>Safeguards or Standards System</th>
<th>Multilaterals</th>
<th>Bilaterals</th>
<th>NGOs or Int'l. Organizations</th>
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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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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

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+

**Institutions (formal and informal)**

**Policies, Laws and Regulations (PLR)**
- Normative framework that defines and operationalizes country-specific safeguards interpretation for REDD+
- Existing policies, laws and regulations on social and environmental issues that are defined as applying to REDD+ activities
- New REDD+ specific policies, laws and regulations

**Safeguards Information System (SIS)**
- Indicators for process and outcomes related to country-specific safeguards interpretation
- Monitoring methodologies
- Reporting frameworks to address different information needs

**Grievance and Redress Mechanism (GRM)**
- Country level mechanism to receive and address grievances related to the country safeguards system

**Processes and procedures**

that shape the elements such as consultation, strategic assessments, analysis, record of implementation, etc.

Main steps for development of a country safeguards system

Development ‘process’

1. Definition of goals of the safeguards system
2. Gap analysis of existing social/environmental PLRs and procedures
3. Creation of new PLRs and procedures (if necessary)
1. Identification of indicators for REDD+ social/environmental performance
2. Development of monitoring methodology and institution
3. Development of reporting methodology and institution

The ‘system’

- Institutions
- Safeguard Information System
- Policies, Laws and Regulations
- Grievance and Redress Mechanism
- Processes and procedures
Potential international inputs into the development of a country safeguards system

Cancun safeguards
International conventions
agreements
Donor Operational
Policies
UN-REDD SEPC
REDD+ SES
FCPF SESA (for risks/
opportunities)

FCPF SESA
UN-REDD BeRT
UN-REDD PGA (for
governance)

FCPF ESMF
UN-REDD FPIC guidelines

FCPF/UN-REDD Guidelines
on establishing grievance
mechanisms

A Safeguards Information System: sources and users

UNFCCC

REDD+ Financing Agencies
Civil society
National Government

REDD+ Programme Managment

Primary data

REDD+ projects
Protected areas
Forest management units

Information sources

Information users
• 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 date are useful?

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