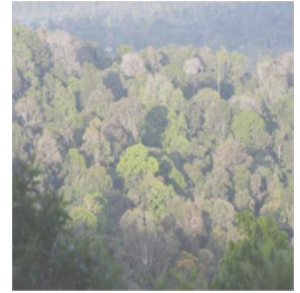


Safeguards for the Twin Capacity Building Programs of the FCPF

Workshop for Regional Intermediaries
Washington, D.C.
September 5, 2013



Forest Carbon Partnership Facility

Facility Management Team (FMT)

Social Development – Safeguards Staff



Safeguards for the FCPF Capacity Building Programs: Summary

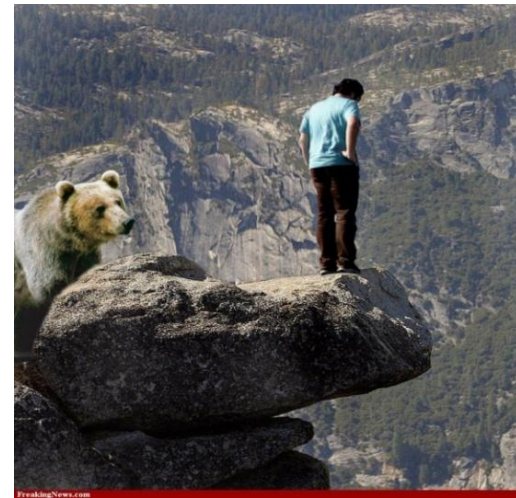
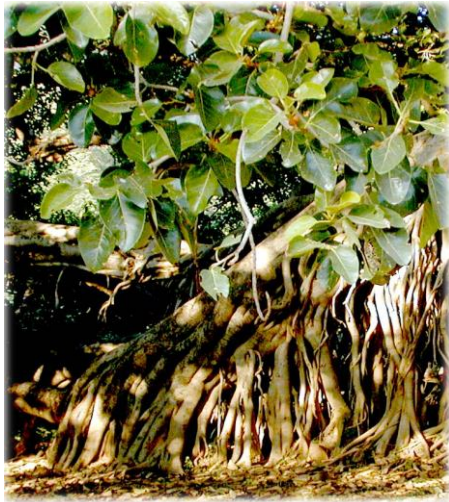
- Introduction to the topic
- Overview of Safeguards Approach
- Review of Key Safeguards Policies
- In Conclusion



Overview of Safeguards Approach

Why does the Bank care about safeguards?

The Bank has developed its safeguards policies to help ***ensure that projects proposed for Bank financing are environmentally and socially sound and sustainable, and to improve decision making...***

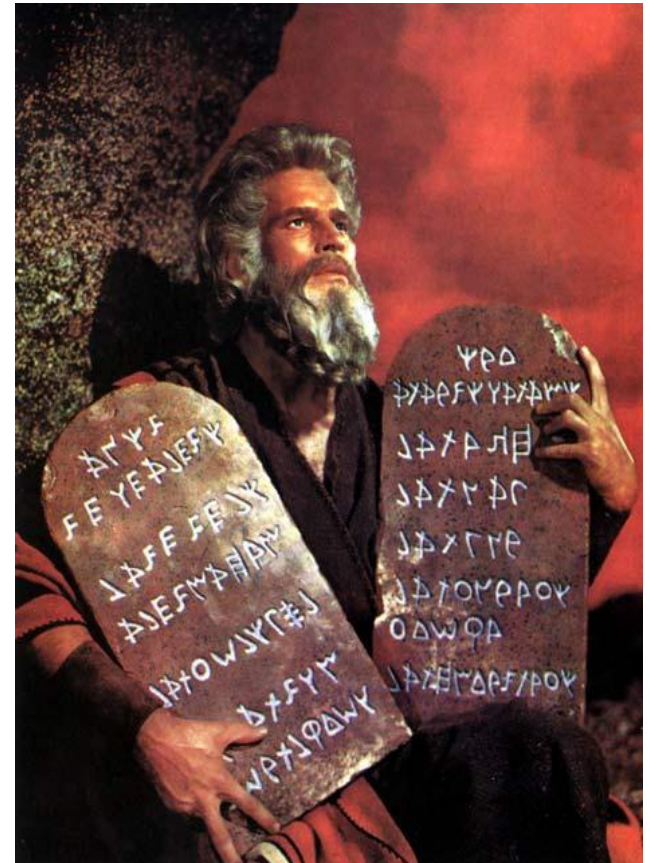


Objectives of the Bank's Safeguards System



The 10 Main Safeguard Policies

1. Environmental Assessment (OP/BP 4.01)
2. Natural Habitats (OP/BP 4.04)
3. Forests (OP/BP 4.36)
4. Involuntary Resettlement (OP/BP 4.12)
5. Indigenous Peoples (OP/BP 4.10)
6. Physical Cultural Resources (OP/BP 4.11)
7. Pest Management (OP 4.09)
8. Safety of Dams (OP/BP 4.37)
9. Projects on International Waterways (OP/BP 7.50)
10. Projects in Disputed Areas (OP/BP 7.60)



Safeguards in Specialized Cases

Financial Intermediary lending

- Each F.I. (in this case, R.I.) screens proposed subprojects and ensures that sub-grantees comply with applicable safeguard policies
- R.I. would also monitor safeguards application by sub-grantees and report on this in its Progress Reports
- The Bank reviews the adequacy of the normative framework in relation to safeguards application by sub-grantees, and proposes measures to strengthen that framework as needed

CDD-type projects

- Framework approach with specific activities to be determined during implementation
- Depending on the nature of these activities, other instruments may have to be developed later
- Emphasis would be on building R.I.s' own capacity over time

Multiple Safeguards Standards for REDD+

UNFCCC Safeguards for REDD+ ¹	Sample of Relevant World Bank Safeguard Policies and Procedures ²
-	-
(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;	OP 4.01 on Environmental Assessment , in particular paras. 14 and 15 OP 4.10 on Indigenous Peoples , in particular para. 1 and footnote 4 OP 4.04 on Natural Habitats , in particular para. 10 OP 4.12 on Involuntary Resettlement , in particular para. 7 OP 4.36 on Forests , in particular paras. 11 and 12
(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits ³ ;	OP 4.04 on Natural Habitats , in particular para. 1 and Annex A, para. 1(a); para. 4 and Annex A, para. 1(c) OP 4.36 on Forests , in particular paras. 1, 2, 5, and 7
-	-

Review of Key Safeguard Policies

EA Risk Categorization

- **Category A** – adverse environmental impacts which are unprecedented, diverse, irreversible, involve large geographic footprint beyond local site, irreversible, complex
- **Category B** – potential adverse impacts are more limited, fewer, site-specific, largely reversible, readily and reliably mitigated through known methods
- **Category C** – likely to have no adverse environmental impacts, or minimal and easily mitigated
- **Category FI** – project involves investments (subprojects) to be financed through a financial intermediary; subprojects undefined at the time of appraisal.
- *(Note: overall project category is determined by highest category among potential sub-projects)*

Environmental Assessment OP 4.01

Objectives

- To ensure that World Bank financed projects are environmentally sound and sustainable and that decision making is improved through appropriate analysis of actions and of their likely environmental and social impacts

Forests OP 4.36

Objectives

- To harness the potential of forests to reduce poverty in a sustainable manner
- Where forest restoration and plantation development are necessary to meet these objectives, the Bank assists borrowers with forest restoration activities that maintain or enhance biodiversity and ecosystem functionality



Forests OP 4.36

Triggers

- OP 4.36 is triggered when Bank-supported operations:
 - Have the potential to impact health and quality of forests;
 - Affect the rights and welfare of people dependent on forests; or
 - Aim to bring about changes in the management, protection, or utilization of natural forests or plantations.

Involuntary Resettlement OP 4.12

Objectives

- Avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project designs
- Assist displaced persons in improving their former living standards, income earning capacity, and production levels, or at least in restoring them
- Encourage community participation in planning and implementing resettlement
- Provide assistance to affected people regardless of the legality of land tenure

Involuntary Resettlement OP 4.12

Triggers

- The policy is triggered by any Bank-assisted project that involves involuntary taking of land resulting in:
 - Relocation or loss of shelter
 - Loss of assets or access to assets
 - Loss of income sources or means of livelihood, whether or not the affected people must move to another location
- Involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons

Indigenous Peoples OP 4.10

Objectives

- Respect the dignity, human rights, economies and cultures of Indigenous Peoples
- Ensure that indigenous peoples receive culturally appropriate and gender and inter-generationally inclusive social and economic benefits
- Ensure that adverse effects are avoided, or if not feasible, ensure that these are minimized, mitigated or compensated

Access to Information policy

Objectives:

- Increase the project benefits and reduce negative impacts
- Design better projects
- Involve different actors in the development process
- Increase accountability and transparency



In Conclusion

Key Messages

- Bank safeguards consist of an integrated system to achieve **Compliance, Quality Enhancement and Risk Management**
- The **nature** and **scope** of activities likely to be supported by the FCPF Capacity Building Programs give them a natural advantage
- Still, **responsibility** for ensuring that subgrantees comply with applicable safeguards rests with the Regional Intermediaries
- R.I.s will still need to have staff with the **knowledge** and **ability** needed to manage this area of work
- Bank staff will work closely with R.I.s, to promote an “added” capacity building effect

Next Steps

- Review the IAFs submitted by regional intermediary organizations to complete the Bank's due diligence on safeguards
- Determine whether a Programs-level ESMF will be necessary, and who would be preparing it
- Integrate the stated systems/procedures for handling safeguards issues into the operational manual or statement for the Programs
- Ensure that the R.I. staff entrusted with following up are clear on their responsibilities during the various stages of Programs implementation