International Climate Initiative

Environmental and Social Safeguards

An introduction to IKI's Safeguards System for implementing organizations

IKI Safeguards Team

Online Seminar: 20th & 21st January 2026

Federal Ministry for the Environment, Climate Action, Nature Conservation and Nuclear Safety

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Agenda

1. IKI Safeguards System
2. Requirements of the application process and project implementation
3. Practical guidance
4. Q & A

IKI Safeguards System

Environmental and social safeguards are **policies, standards and measures**

- **to prevent, minimise or reduce adverse impacts** on people and the environment from projects and, in exceptional cases, **provide remedy**, and

- **to ensure human rights, fair labour, and community participation**, moving beyond "do no harm" to promote positive outcomes and sustainable projects.

IKI Safeguards System

Components
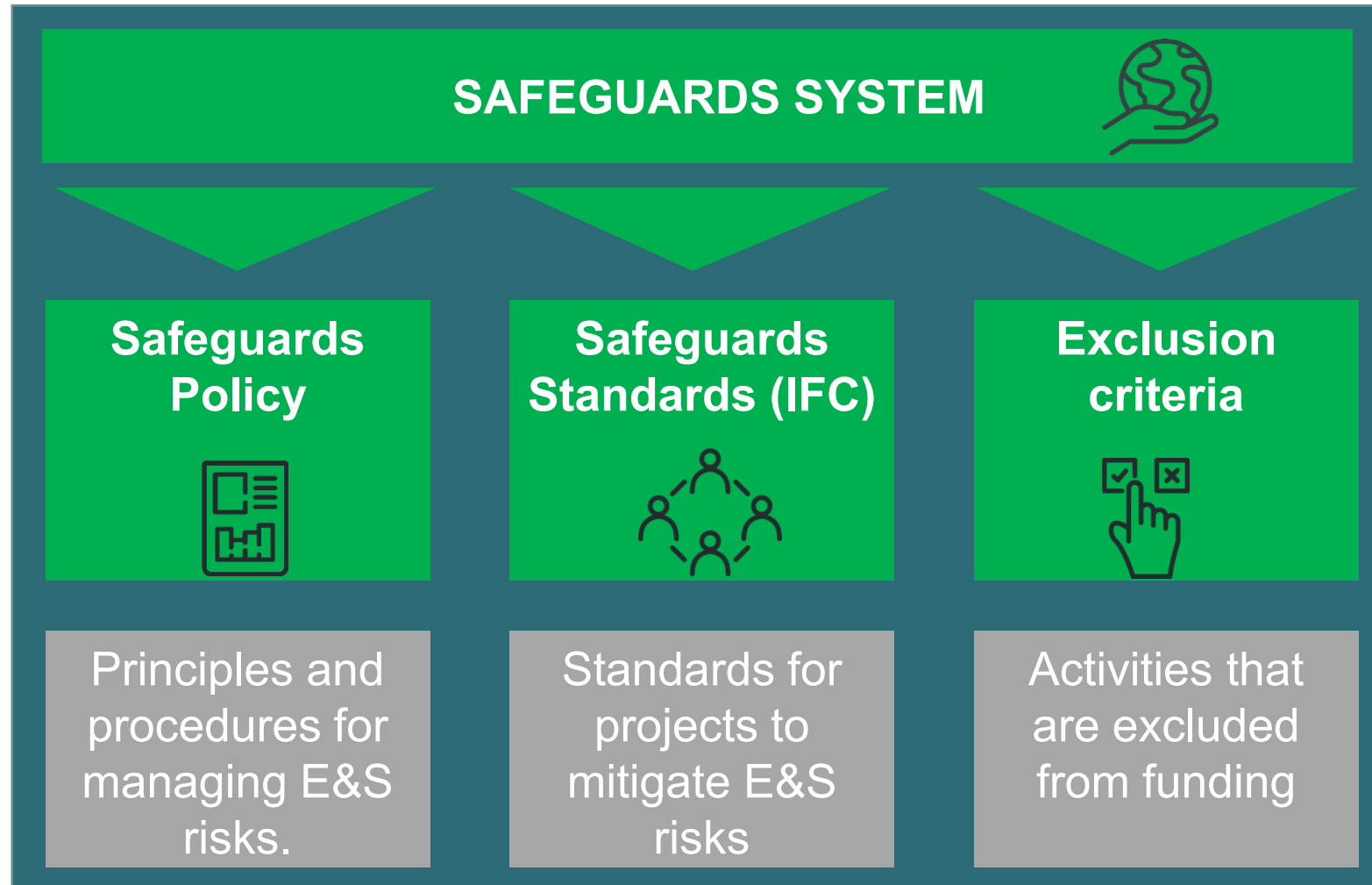
IKI Safeguards Policy

Objectives

Increased quality, coherence and efficiency of the funding programme

Increased effectiveness, sustainability and quality of projects

| Identification of risks and avoidance of negative impacts | Positive environmental and social impacts of the safeguard measures | Strengthen stakeholder engagement | Increased transparency and accountability | Definition of responsibilities, procedures and processes |

IKI Safeguards Standards

Application of IFC PS

💡 Familiarise yourself with the IFC PS to see which risks and impacts are relevant in your project

PS 1
Assessment and Management of Environmental and Social Risks and Impacts

PS 2
Labor and Working Conditions

PS 3
Resource Efficiency and Pollution Prevention

PS 4
Community Health, Safety, and Security

PS 5
Land Acquisition and Involuntary Resettlement

PS 6
Biodiversity Conservation and Sustainable Management of Living Natural Resources

PS 7
Indigenous Peoples

PS 8
Cultural Heritage

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Exclusion Criteria

Activities that **cannot be funded** because they are too risky to ensure compliance with environmental and social standards or not ethically justifiable.

Currently 18 criteria that are excluded from IKI funding [published on the IKI Website.](#)

Examples:

Use of forced or harmful child labour

Forced eviction

Impacts on indigenous lands without consultation

Destruction of critical habitats / introduction of invasive species
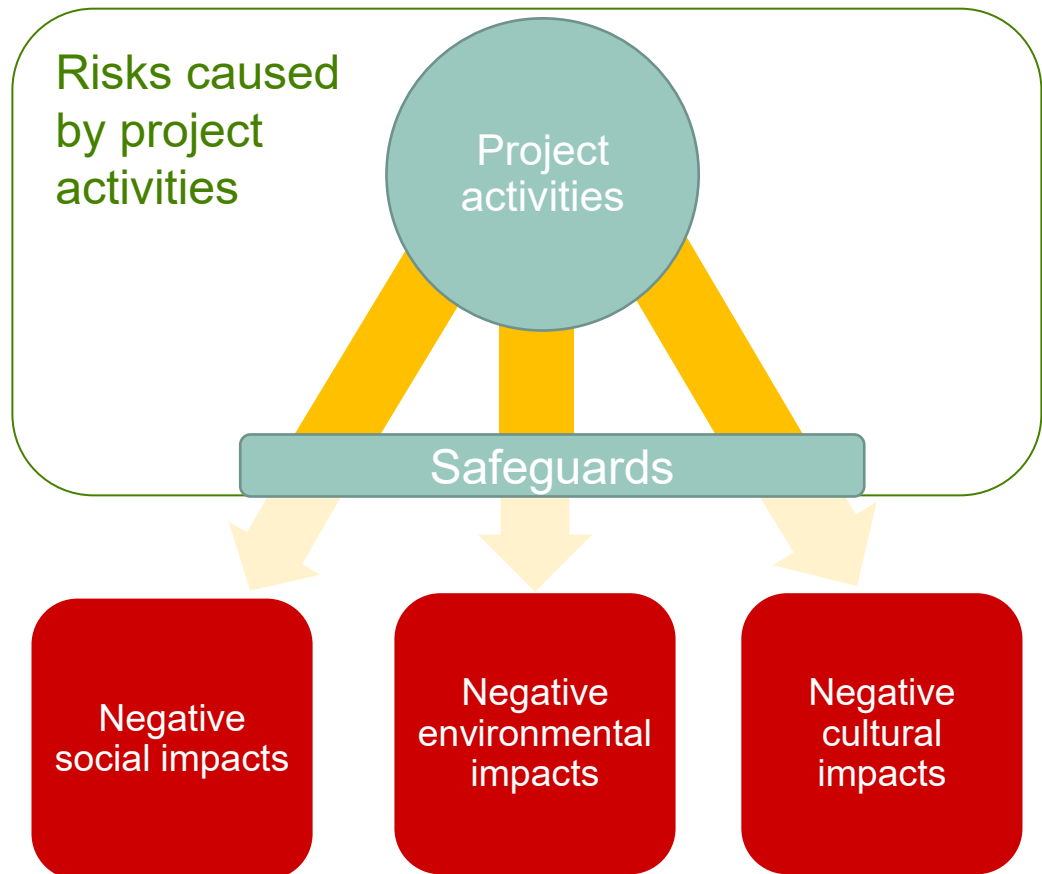
Use of hazardous pesticides

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Environmental and social risks

Project risks

External risks

- Natural disasters
- Political situation and support
- Increased costs

Project activities

Environmental and social risks

Risks caused by project activities

Project activities

Safeguards

- Negative social impacts
- Negative environmental impacts
- Negative cultural impacts

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Risk categories

A HIGH

B MODERATE

C LOW

n/a NOT APPLICABLE
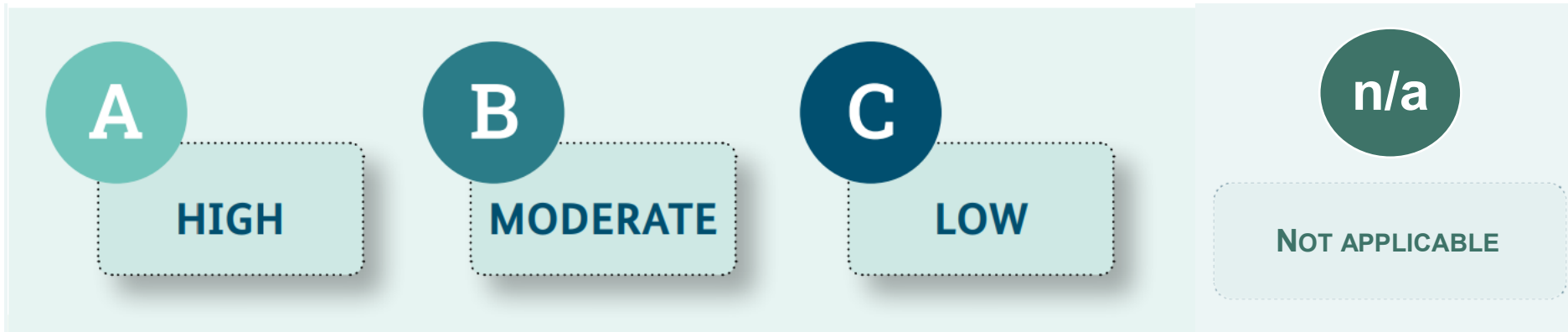
A. activities with high adverse environmental and social risks/impacts that are **diverse, unprecedented or irreversible**

B. activities with moderate adverse environmental and social risks/impacts that are **few, site-specific and largely reversible**

C. activities with low adverse environmental and social risks/impacts.

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Risk categorisation

Criteria	Examples
Probability of the occurrence	Likely to occur, very unlikely,...
Extent	Number of affected people, hectares, localized or far reaching,...
Severity	Sound levels of construction noise, severity of harmful health effects, level of contamination,…
Frequency / recurrence	Single or recurring event, duration, a specific point in time,…
Sensitivity/vulnerability	Are people, fauna, flora, habitats and ecosystems particularly vulnerable?
Irreversibility	Damage to individual plants vs. ecosystem degraded beyond recovery, minor vs. lethal injury, traumatic events,…

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Requirements based on risk category

Risk-based approach:

the higher the risk category, the more stringent the requirements for the project's safeguards regime

Don't forget!

Requirements based on risk category

	A	B	C
Complete Safeguards chapter in project proposal (environmental and social risk assessment, measures)	●	●	●
Safeguards reporting obligations (interim reports, final reports)	●	●	●
Integrate Safeguards indicator in results chain	●	●	
Integrate Safeguards measures in work packages	●	●	
Environmental and Social Impact Assessment (ESIA)	●		
Environmental and Social Management Plan/Framework (ESMP / ESMF)	●		

Requirements of the application process and project implementation

The key to success

Our philosophy

Early integration is key

Comprehensive integration of safeguards into project planning leads to better project outcomes.

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Project preparation

Outline

- Complete the E&S section in outline
- Conduct initial screening to identify stakeholders and risks
- Start thinking about safeguard measures, analyses or management plans needed

Kick-off

- Present your safeguards planning for preparation and implementation phase
- This should cover stakeholder engagement, social and environmental risks & potential assessments to be carried out

Preparation Phase

- Complete the "safeguards chapter" in the project proposal:
- Once project activities are mostly defined, conduct environmental and social risk analysis
- Start ESIA / ESMP or other processes if needed
- Allocate sufficient time & resources and conduct consultations with partners and stakeholders

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Project Implementation

Implementation Phase

- Implementation of planned safeguards measures and compliance with safeguards standards throughout the project

- Monitoring and regular reporting to IKI on E&S risks and implemented measures

- If the risk category changes, the project must meet the requirements of the new category and adapt safeguards measures accordingly

- Safeguards compliance will be reviewed in midterm evaluations.

If negative impacts occur…

Serious Incident Reporing

Serious incidents in the project, need to be reported to IKI **within 72 hours** of becoming aware of them.

→ Use SIR form available on IKI website

There will be a process to:

- clarify what happened
- stop any ongoing negative impacts
- put in place avoidance preventive measures for the future

If people or the environment have been harmed, **REMEDY ACTIONS** may be needed. Remedy can take various forms. Details will be determined in each case.

Examples of serious incidents:

- Death
- Serious injury
- Negative environmental Impacts
- Detection of harmful child labour
- Human rights violations
- Gender-based violence,
- Etc.

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Stakeholder Engagement

Background

What:
- **Inclusion of relevant stakeholders in project preparation and implementation**
- **Stakeholder analysis & engagement**
- **Right to participation**

Why:
- **Trust, local ownership and project legitimacy.**
- **Real-world perspectives for risk identification, safeguards and adaptive management.**
- **Conflict prevention, key to project success**
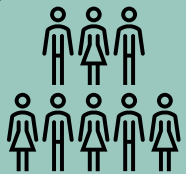
Who:
- **Directly affected people – communities, households, NGOs, etc.**
- **Interested/influential groups – authorities, private sector, academia, civil-society**
- **Special attention to women, indigenous peoples, marginalized and vulnerable groups**

When is it required:
- **Whenever people may be positively or negatively affected and / or have an interest in the project or influence its success**

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Stakeholder Engagement

Guidance for implementation during project preparation phase

Identify & analyse stakeholders and their issues/concerns

Develop an Engagement Plan (purpose, scope, timetable, etc.)

Provide advance information in culturally appropriate, accessible way

Select suitable formats (public meetings, workshops, focus groups etc.)

Conduct inclusive consultations early and repeat at key milestones

Document, publish and feed back results; **integrate into risk analysis, safeguard design and adaptive management.**

Stakeholder engagement is not a box-checking exercise – it is a continuous, inclusive dialogue that shapes safer, more acceptable and ultimately successful projects. Allocate the needed time, people and budget from day 1, and embed the process throughout the project life-cycle.

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Practical Guidance

What makes a good 'Safeguards Chapter'

Comprehensive analysis of environmental and social risks and impacts

Sufficient context information (social tensions, conflict dynamics, etc)	**Identification of the project activities that lead to risks and impacts**	**Describe the actual risk/ potential impact of the proposed activity**	**Information on probability and severity of risks and impacts (number of people, hectares of land,…)**

Risk identification helps with risk mitigation

„Only providing advice = no risk" is NOT correct

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What makes a good ‚Safeguards Chapter'

Plan concrete measures that will reduce risks, avoid negative impacts and contribute to positive ones

| **Measures should be adapted to the specific risks and the local context** | **Clear responsibilities for implementing the measures should be assigned & a schedule should be defined** | **If the project is risk category A or B, safeguards measures need to be integrated into work packages** | **Think of safeguards measures not as add-on but integral part of project success.** |

Performance Standard	Summary of risk	Risk (A-C)	Planned safeguards measures, responsible party and schedule	Expected results of mitigation
PS 5 Land Acquisition & Involuntary Resettlement	The project will support the **establishment of a new protected area**. There is a risk that approx. **80 people** using the natural resources of the area will be **economically displaced** (= loss of income) through the **restriction of access to resources**.	B	Measures: – **Social Impact Assessment** to determine impacts of access restrictions to resources – **Participatory planning** of protected area to reduce impacts of access restriction – **Livelihood Restoration Plan** that will assist people in establishing alternative income-generating activities Responsible: – Lead implementing organisation, in cooperation with local partner Schedule: – SIA: Preparation Phase/ Inception Phase – Particaptory Planning & LRP: throughout project, monitoring at regular intervals…	– Affected people are fully informed throughout the project and able to make informed decisions – Loss of income due to access restriction reduced to a minimum and compensated through alternative livelihood activities

Performance Standard	Summary of risk *Description of risks analysed based on IFC Performance Standards.*	Risk (A-C)	Planned safeguards measures, responsible party and schedule *Measures planned to avoid, minimise, or mitigate risks and impacts. This may also include additional due diligence and specific management plans. Note measures for each identified risk.*	Expected results of mitigation *Note results in a measurable way. Bullet points suffice.*
PS 1 Assessment and Management of Environmental and Social Risks and Impacts	Not applicable	Not applicable	*Please briefly describe your environmental and social management system or processes, including:* a) the process of identifying environmental and social risks, and developing safeguards measures (both for the main project and for any potential subprojects funded) b) adequate organisational capacities (personnel and financial) c) safeguards monitoring throughout the project duration	

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Examples of risks in IKI projects

Risks related to land rights, land use conflicts, restriction of access to natural resources

Risk that Indigenous Peoples or vulnerable/marginalised groups are not included and consulted adequately

Risks related to occupational health & safety/ labour standard issues in agricultural work

Risk of introducing invasive species

Risks related to use of pesticídes

Risk of gender-based violence

Safety risks to implementing organisation and communities because of illegal/ armed actors

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https://www.international-climate-initiative.com/en/about-iki/safeguards/

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THANK YOU FOR YOUR ATTENTION

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