**CSFEP Environmental and Social Safeguards Alignment Checklist**

Purpose The checklist supports a Challenge Owner (CO) to collaborate with the Independent Assessor (IA) on a standardized approach to assure a Breakthrough Initiative’s (BI‘s) alignment with the Global Guiding Principles (GGPs) environmental and social safeguards throughout the BI lifecycle; Design, Implementation, Finalization.

APPROACH

1. The CO collaboratively with the IA will agree their approach to completing Steps 1 to 6 in the ‘CSFEP Environmental and Social Safeguards alignment.xls’ to undertake and monitor risk management measures in alignment with the GGPs during different phases of the BI .
2. The *Safeguard Alignment Checklist* helps the CO and IA to collaboratively summarize the completion of Steps 1 to 6 during the whole lifetime of the initiative.
3. The Independent Assessor (IA) reviews the *Safeguard Alignment Checklist* and Steps 1 to 6 to conclude their level of agreement with the CO’s conclusions on risk classification, mitigation, and GGP alignment status. The IA engages with the CO and where there is misalignment, the IA will provide recommendations for the CO to follow up.

**The Safeguards Alignment Risk Management Steps**

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| **Step 1. Overview and status** | CO and IA to work collaboratively to keep this updated as an overview of the Safeguards Alignment process and the Breakthrough Initiative status |
| **Step 2. Describe Project** | CO should use this Step to describe the characteristics of the raw material (timber, bamboo etc.) source and supply chain used in the Breakthrough Initiative, where information is available. Where information is missing, this should be noted in Step 3 Risk Assessment; with mitigating actions to complete the gaps in Step 4 Risk Mitigation. |
| **Step 3 Guidance (Risk Assessment Matrix)** | Provides guidance on how to categorise severity and likelihood to assign risk classifications |
| **Step 3. Risk Assessment Template** | The CO should use this Step with the IA to categorise risks for the Breakthrough Initiative, according to CSFE safeguards Issue Areas to facilitate Issue Area prioritization. assess and categorize the from the risks. All questions should be completed for each Issue Area. |
| **Step 4. Risk Mitigation Plan Template** | The CO and IA should use this Step for risks identified in Step 3 as medium or high; to capture detailed information as the basis of the safeguard monitoring plan; including Initial risk level; Criteria and guidance source; Data sources; Stakeholder engagement; and Risk Mitigation Plan. Risk mitigation plans should provide insights in the stepwise continual improvement of the risk mitigation measures throughout the BI’s lifetime. |
| **Step 4. Guidance (Risk Mitigation Examples)** | Guidance on examples of key drivers, risks, and mitigation by Issue Area |
| **Step 5. Risk Mitigation Actions Overview** | The CO and IA should use this Step to keep an overview of risk mitigation. It is Optional and the CO and IA may refer to their own overview. |
| **Step 6. Align GGPs** | The CO with the IA should use this Step to demonstrate the degree of alignment of the mitigation measures with the GGPs, and their continuous improvement to become fully aligned with the GGPs. |

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|  | CSFE SAFEGUARDS CHECKLIST BASIC INFORMATION | | | | |
|  | **BI project name** |  | | **Project Duration** *(start – end)* |  |
|  | **CO details (name & email)** |  | | **IA details (name & email)** |  |
|  | **CSFE File Versions** | Current | | Previous |  |
|  | **CSFE Checklist filename** | [insert current filename] | | [insert previous filename] |  |
|  | **CO Submission** | [latest saved date] | | [previous saved date] |  |
|  | **IA Review** | [latest saved date] | | [previous saved date] |  |
|  | **Question to CO**  *Includes Guidance to understand intent of the questions* | **CO Response**  *Short answers (yes/no, list). Reference related information in the templates.* | | **CO Evidence/Justification**  *Where required, as indicated in the Question.* | **IA use only**  *IA Decision*: Agree/Partially Agree/Disagree with CO.  *IA justification* for their decision, *Recommendations to CO* |
|  | SAFEGUARD PLANNING/DESIGN  *This is the information expected to be in place as a BI is being developed, preferably before implementation* | | | | |
| 1 | **Template 1: Is the basic project details and raw material sourcing data complete and up to date?** |  | | |  |
| 2 | **Step 3: Has the risk assessment template been completed for all 20 Issue Areas in the context of the scale, scope, intensity of the BI?** |  | | |  |
| 3 | **Step 3: For the risk assessments, in Q 2 and Q4 for the identified issues areas; was sufficient justification provided for the severity and likelihood of the impact to determine the materiality or significance of the impact?** This should reference supporting materials used.  *Guidance* see Template 2 and Annex 2 |  | | |  |
| 4 | **In Step 4. Risk Mitigation Plan Template, do the risk mitigation plans include the processes and the responsible persons/entities that will be charged with implementing the mitigating actions?** |  | | |  |
| 5 | **In Step4. Risk Mitigation Plan Template, do the stakeholder engagement plans support appropriate risk mitigation?**  *Evidence/justification required*  *Guidance* see Template 2 and Annex 2 |  |  | |  |
| 6 | **In Step 4. Risk Mitigation Plan Template, have issue area synergies been appropriately described?**  *Guidance* see Template 2 |  | | |  |
| 7 | **Has the CSFEP 3S Framework carbon modelling or similar 3rd party assessment been applied to measure the carbon fluctuations, gains and losses across the full value chain and life cycle of the project?**  If not, has a carbon modelling approach been used that measures the carbon fluctuations, gains and losses across the full value chain and life cycle of the project and covers the sequestration and sink in the forest, storage in the product, substitution in the building?  Please include the results of the study. N.B. It is important to demonstrate an understanding of carbon emissions and mitigation activities. E.g. if harvesting is taking place, what are the biggest losses to terrestrial carbon sinks and how is the project mitigating such loss e.g. applying RIL techniques |  | | |  |
| 8 | **Are there any carbon certificates or issuance of carbon credits applicable to the BI?**  *Guidance* If yes:   * List the cert nº and scheme e.g., verra * Does the CO have a process to manage claims to ensure no confusion about double counting? * Has the CO described a process for the revenue generation and participation of any issuance as a mitigation to any risk associated with revenue generated by actors other than the forest owners? |  | | |  |
|  | IMPLEMENTATION  *When a BI is up and running these measures to ensure responsive management should also be considered in the assessment.* | | | | |
| 9 | **Is the Excel file “CSFEP Environmental and Social Safeguards alignment” regularly reviewed and kept up to date if any major characteristics of the BI change (e.g., if the forest source changes or if the mitigating action are not effective) and updated upon BI completion.**  *Evidence/justification required*  *Guidance* Describe how the BI considers learnings and continually stepwise improves, e.g., have the templates been regularly updated and informed conclusions for adapting and improving risks and related measures are drawn |  | |  |  |
|  | FINALIZATION | | | | |
| 10 | **Describe the efforts the CO has undertaken to share the outcomes**.  *Evidence/justification required*  *Guidance* Note that while availability of data and reports online in a public and easily accessible forum is expected; there may be a need for more proactive sharing of data and information with various actors. This should include ensuring a variety of targeted methods of delivery, language, and accessibility and if appropriate distribution of information in non-written forms. |  | |  |  |