proforest



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Social Safeguarding Process for Landscape and Jurisdictional Initiatives (LJIs)

Minimum expectations

Guidance

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1 Introduction

This guidance is intended for organisations implementing Landscape and Jurisdictional Initiatives (LJIs). While the scope of this document is limited to LJIs, other projects with field activity components can get inspiration from the general process described.

It provides recommendations on a globally applicable minimum safeguarding process and outlines key steps that organisations are encouraged to consider when designing and implementing safeguards within their initiatives.

The guidance is intended as a practical reference rather than a prescriptive standard. The safeguards that are appropriate for a particular initiative will vary depending on the local context, the nature of the interventions, the stakeholders involved, and applicable legal and regulatory requirements.

Organisations should adapt their safeguarding approach accordingly, while seeking to achieve the underlying objectives set out in this guidance.

This builds on experience from implementers who shared their learnings and best practices across landscape initiatives in different regions. Their field-based experience and insights have been critical in ensuring that this guidance is both relevant and actionable across diverse contexts.

Understanding safeguarding

What is social safeguarding and what are safeguards?

Social safeguarding is a *process* for protecting people from being harmed by interventions intended to do good – such as those put in place by a LJI. It includes understanding how interventions may put people at risk, what could be done to mitigate that risk, and how to check that the risk is actually mitigated.

Safeguards are measures put in place by the organisation(s) managing the intervention(s) within an LJI to help identify, prevent and address potential impacts on people. A core set of social safeguards is considered foundational to good practice in LJIs. These safeguards help organisations avoid negative impacts on people that may be directly or indirectly affected by the initiative and, where risks cannot be fully prevented, mitigate them.

What about environmental safeguards?

Some organisations incorporate environmental considerations within their safeguarding approach and therefore develop guidelines on both social and environmental safeguards.

This document focuses specifically on social safeguarding: protecting people who are involved in, or may be negatively affected by, an initiative, including staff, implementing partners, and individuals and communities in target or at-risk areas.

This focus reflects an identified gap in available guidance and responds to the need for practical tools to support organisations in implementing their responsibility. It also reflects the reality that the majority of LJIs were originally established with a primary focus on achieving environmental outcomes.

Similar principles and processes could be applied to identify, assess and address potential unintended environmental impacts. However, environmental safeguards are **beyond the scope of this document**.

What is the difference between social safeguarding and taking action to address known human rights issues?

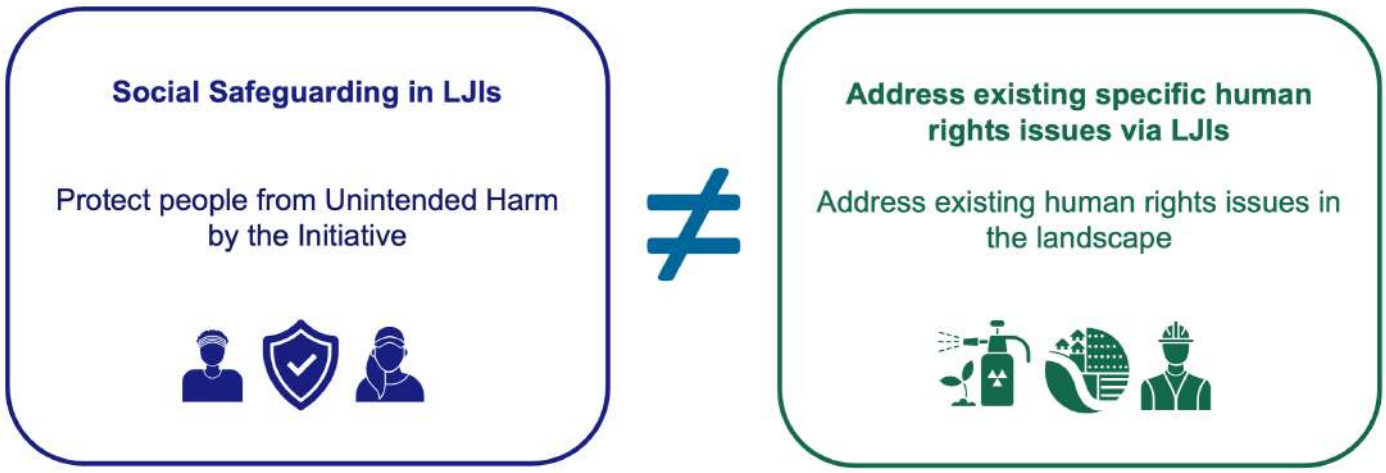


Figure 1. Social safeguarding vs addressing existing human rights issues.

Social safeguarding is distinct from taking action to address existing human rights issues (Figure 1).

Social safeguards are measures put in place to prevent or minimise adverse impacts that may result from an initiative's activities. For example, a conservation project should ensure *that communities' rights to access cultural sites are not restricted as unintended consequence of the intervention*.

This differs from action aimed at addressing existing human rights issues within a LJI, such as child labour, working conditions, or land conflicts. For example, *an action plan with various mills in the district to improve working conditions for workers in mills and plantations*. All LJIs, including those entirely focused on environmental issues (e.g. reducing deforestation) should implement social safeguards, as their activities may still create unintended negative impacts on people.

Some LJIs are established specifically to address human rights issues at scale. In these cases, actions to address human rights issues form part of the initiatives' scope. However, these initiatives should also implement social safeguards to avoid that their activities create new risks or unintended harms (e.g., LJI staff misbehaviour).

In practice, the distinction is not always clear-cut. Some safeguarding activities may both address existing human rights issues and serve as safeguards.

Importance of social safeguarding in LJIs

LJIs are long-term, place-based, multi-stakeholder approaches that seek to deliver positive outcomes for people, nature, and climate.[1]

Social safeguarding helps LJIs achieve their objectives while reducing the risk of adverse impacts on people. Effective safeguards can strengthen trust, support constructive engagement with stakeholders and communities and help manage grievances. They can also help meet the expectations of donors.

Designing and implementing social safeguards in LJIs can be challenging given the numerous interventions, stakeholders and impact pathways involved. At the same time, LJIs often have a wealth of resources, governance structures, local knowledge and partners that can support the development and implementation of an effective safeguarding system.

This guidance sets out a recommended social safeguarding process for LJIs. Throughout this document, 'Safeguarding' and 'Social Safeguarding' are used interchangeably to refer to measures taken to prevent or minimise harm to people arising from LJI interventions.

Why social safeguards matter for funders of LJIs

1. **Protect investments and reduce implementation risk**
   Social safeguards help identify and manage risks that can lead to project delays, operational disruptions, conflicts and legal or reputational challenges. Addressing these risks early can improve the likelihood that investments achieve their intended outcomes.
2. **Strengthen long term outcomes**
   LJIs success relies on the support and participation of local stakeholders. Safeguards help build trust and secure stakeholders buy in, thereby creating the conditions for the outcomes to be sustained over time.
3. **Improve implementation effectiveness**
   Safeguarding processes typically include stakeholder engagement and feedback mechanisms that help ensure interventions are informed by local priorities, knowledge and concerns. This can improve the relevance and effectiveness of interventions.
4. **Support accountability and due diligence requirements**
   Many donors and corporate funders are expected to assess and manage social risks associated with the activities they support. Social safeguards can help meet those requirements and build trust for further financing opportunities.
5. **Strengthen stakeholder confidence**
   Demonstrating a commitment to preventing harm and addressing concerns can help strengthen confidence from funders and other stakeholders in the initiative.
6. **Promote inclusive and equitable outcomes**
   Safeguards can help ensure that potentially affected groups that may face heightened barriers to participation, such as women or Indigenous Peoples, are identified, consulted and considered in decision-making processes.
7. **Help future proof investments**
   Regulatory and stakeholder expectations regarding human rights and responsible business conduct continue to evolve. Integrating safeguards from the outset can help initiatives reduce the need for corrective action later.

Social safeguards are an important component of LJIs. They are a risk management tool that helps build trust, protect investment and improve outcomes.

1 See more details on the differences between landscape and jurisdictional initiatives (LJIs) in this briefing: Introduction to landscape or jurisdictional initiatives in commodity agriculture.

2 Social Safeguarding Process and Minimum Expectations

Four core stages guide the social safeguarding process within LJIs:

(1) Commitments, (2) Assessment, (3) Planning and Implementation, and (4) Monitoring and Reporting (Figure 2).

Underpinning this process are three enablers: (A) clear and effective governance and accountability, (B) capacity building of key LJI staff and (C) provision of remedy to affected people.[2]

It is important to approach safeguarding as an ongoing, iterative, process occurring throughout the lifetime of an initiative, as it evolves and new workstreams are added, rather than a tick-box exercise.

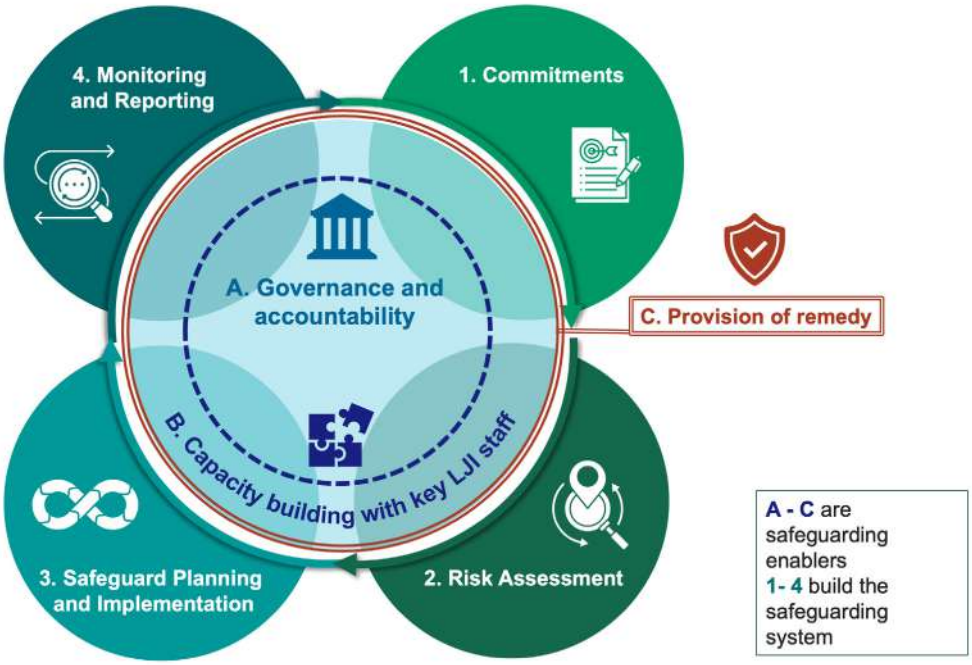


Figure 2. Stages of the recommended safeguarding process for LJIs

Structure and content of this guidance

For each element of Figure 2 we:

- Set out minimum expectations and at points explain how this can be built out to reach best practice;
- Set out key elements of implementation;
- Outline what outputs from this step would look like;
- Provide additional resources where needed;
- Illustrate with real life case studies where available.

2 See the following section – Safeguard System Enablers – for a detailed explanation of each enabler and the longer complementary guidance on Human Rights grievance management in LJIs

Minimum expectations for social safeguarding

The **minimum expectations** are a subset of the actions outlined across the social safeguards' stages (Figure 2). The emphasis is on ensuring that minimum safeguarding standards are met first[3], while supporting progressive, context-appropriate advancement through the four stages toward best-in-class practices as capacity, resources, and enabling conditions improve over time.

LJIs are encouraged to integrate these minimum expectations within 1-2 years of the start of funding agreements with primary funders.

These minimum expectations recognise that not all LJIs have the capacity or maturity to implement all safeguards immediately. As a result, implementation is expected to be phased over time.

Best-in-class practices are identified by this icon.



3 See Appendix 1 for a 'quick overview' table with minimum expectations checklist

3 Safeguard System Enablers: Governance, Capacity, and Provision of Remedy

A) Governance and accountability

Clearly identifying roles, responsibilities and resource requirements can help support the effective implementation of social safeguarding measures and facilitate ongoing monitoring and review.

Key roles and examples of additional expertise that may be needed

Key roles:

- Designated safeguarding lead/ focal point
- Grievance manager

Areas of additional expertise you may need to consult:

- Social and human rights
- IP&LC
- Organisations working locally
- MEL

In LJIs, where multiple organisations, partners and governance structures may be involved, establishing these arrangements at an early stage can help reduce uncertainty regarding responsibilities and support coordination across actors.

Appropriate resources should be considered as part of safeguarding planning and implementation. This may include financial resources, staff time, technical expertise and capacity-strengthening support needed to undertake safeguarding activities, operate grievance mechanisms, and support monitoring, learning and adaptive management processes.

Because multiple organisations often contribute to the design and implementation of activities, safeguarding responsibilities should be clearly defined, documented, and communicated across all implementing partners. This may include identifying safeguarding focal points, clarifying decision-making responsibilities, establishing processes for raising and addressing concerns, agreeing reporting arrangements, and setting out approaches for reviewing safeguarding implementation over time. Where relevant, safeguarding-related responsibilities may also be reflected in partnership agreements, contracts, Memoranda of Understanding (MoUs), and terms of reference.

Where possible, roles, responsibilities and resource commitments should be formally embedded within LJI governance arrangements to reinforce accountability, continuity, and transparency over time. The LJI governance body should maintain oversight of safeguarding implementation and periodically review the adequacy of arrangements.

It is recommended to consider introducing periodic safeguarding reviews or independent assessments every two to three years to strengthen accountability and credibility. This can be done through monitoring indicators associated with this ToC (See section 4.1 for further details on monitoring safeguard-related risks and outcomes).

Safeguarding should be reflected in the LJI's Theory of Change (ToC) as part of efforts to identify and manage social risks and to support the conditions needed for achieving intended landscape outcomes.

Suggested outputs:

- *Roles, responsibilities, timelines and resource requirements identified within safeguarding plans, including adequate time and budget allocations for consultation and in-person engagement where relevant*
- *Designated focal points, responsible bodies or technical experts identified to support different stages of the safeguarding process*
- *Agreed roles, responsibilities and resourcing arrangements reflected, where appropriate, in governance and partnership documents (e.g. MoUs, terms of reference, multi-stakeholder platform agreements)*
- *Documented procedures for coordination, escalation, and oversight of safeguarding implementation*

B) Capacity building of key LJI staff

Targeted capacity-building and awareness-raising on social safeguarding principles and practice should be conducted for the appropriate staff in the implementing organisations.

Targeted capacity building means giving appropriate training to specific groups in response to risks identified (e.g. Trainings to staff contractors/ to prevents identified risks from inappropriate behaviours towards targeted communities during activities).

This can help ensure that individuals responsible for implementing and overseeing safeguarding measures have the knowledge and skills needed to identify and respond appropriately to safeguarding risks.

The outcomes that capacity building and awareness raising should aim for are as follows: understand safeguarding risks; recognise early warning signs; and apply policies, procedures and action plans confidently and consistently. This targeted approach can support more consistent implementation of safeguarding measures, improve awareness of safeguarding risks and reporting processes, and contribute to ongoing organisational learning.

Suggested outputs:

- *Roles, responsibilities, timelines and resource requirements identified within safeguarding plans, including adequate time and budget allocations for consultation and in-person engagement where relevant*

CASE STUDY 1
Sustain Kutim Landscape Initiative –
Capacity building for own staff - GIZ & Proforest



The Sustainable Landscape Initiative in Kutai Timur (SUSTAIN KUTIM) started in 2023 and is a collaboration between the public and private sector in East Kalimantan, Indonesia, coordinated by Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and Proforest, under the remit of the East Kutai District Government's ongoing sustainability strategy.

As part of its commitment to strengthen safeguards in the landscape, a first step was to deliver capacity building for staff of the coalition partners (GIZ, Proforest), local village facilitators and landscape coordinators on what social safeguards are and their importance in the daily interventions' implementation.

A workshop was held in early 2025 during one of the key meetings between partners, and the safeguarding principles and process was presented.

There, the team discussed: social safeguards; how they are different from environmental safeguards; identified the rightsholders[4] that would be affected; and potential mitigation actions that could be taken.

Key learnings

While different levels of understanding around social safeguards existed between staff, they were nevertheless able to collectively identify existing mechanisms in the landscape that could be used to support safeguarding outcomes.

Another learning was the importance of translating the capacity building materials into the local language (here Bahasa Indonesia), for wider reach and reuse by the team.

Visual reminders of key mitigation activities (safeguards around health and safety on field visits and responsible conduct in community meetings) are currently displayed in field offices to keep reminding staff of the need to keep safeguarding principles and mitigation at the heart of their activities' implementation.

4 See Appendix 4 for definitions

C) Provision of remedy

Even with an effective safeguarding system, adverse impacts from an intervention may still occur in the LJI. People who are negatively affected therefore need access to appropriate channels to raise concerns and seek remedy. For this reason, LJIs are expected to establish and maintain reporting mechanisms and clear procedures for receiving, assessing and responding to complaints and grievances via a clear grievance mechanism.

A new grievance mechanism does not necessarily need to be created if an existing mechanism linked to the initiative already exists. In such cases, the focus should be on reviewing and evolving the existing mechanism to ensure it could adequately cover grievances related to social safeguarding. As with all actions, it would be important to engage implementing partners in such review and revision.

While all LJIs are encouraged to work toward full alignment with the UN Guiding Principles (UNGP) effectiveness criteria for grievance mechanisms, implementation will naturally vary depending on each initiative's resources, maturity, and operating context. It is advisable to involve a third party in the management of any grievance mechanism to reduce risk, or perception, of bias.

In this guidance, key elements for setting up a grievance mechanism (and planning an environment that allows for remedy) are set out under the relevant stages of the safeguarding process.

However, for more details on the full operationalisation of such a grievance mechanism, refer to the complementary guidance on grievance management in LJIs.



4 Four Core Stages of Safeguarding

1. Commitments



1.1 Set out high-level commitment to safeguarding in the LJI

Establish a high-level safeguarding commitment within the LJI's governance structure to reflect all implementing partners' commitment to good safeguarding practice. This commitment may be a standalone document or included in other LJI governance or partnership documents.

While implementing organisations may already have their own safeguarding commitments, the LJI should adopt a shared commitment to provide a foundation for coordination across partners throughout implementation.

The commitment should define the scope of safeguarding, including any priority social risks, and promote a common understanding of safeguarding expectations among partners and stakeholders. It remains valuable to establish this commitment even after implementation has begun. To be effective, the commitment should ultimately be embedded within partners' organisational policies and practices.

Suggested outputs:

- *Commitments to social safeguarding in the LJI as part of official documentation of the LJI:*
  - *Cooperation agreements*
  - *LJI partnerships*
  - *LJI governance documents, etc.*

1.2 Commitments are developed through participatory approaches with stakeholders and rightsholders

If time and resources allow, best practice would be to develop the safeguarding commitments with participation of the rightsholders and beneficiaries of the LJI/interventions.

A bottom-up participatory approach led by rightsholders, or targeted consultation with specific community groups or demographics (e.g. women, vulnerable groups) can shape commitments via, for example, workshops and meetings. Such spaces could also be used to socialise key safeguarding concepts.

1.3 Commitments are embedded in local multi-stakeholders' (MSP) processes

Where a strong multi-stakeholder's (MSP) governance platform already operates in the LJI, best practice would be to embed these commitments within it. The MSP may play an important oversight and coordination role in promoting implementation of safeguarding commitments across the LJI.

CASE STUDY 2
Sustainable jurisdictional approach in the Central Paraguayan Chaco

Setting commitments at landscape level and embedding within local governance - Solidaridad Paraguay



Cattle in the Landscape *(Photo credits, Solidaridad)*

The **Chaco Landscape** is a multi-stakeholder jurisdictional initiative started end 2023 that aims to identify and act on sustainability priorities identified by local stakeholders in the municipality of Campo Aceval, in the Paraguayan Chaco. The initiative aims to establish a more sustainable and profitable beef production model adapted to the Central Chaco region and is focused on the adoption of good agricultural practices, access to water, the restoration of degraded areas, and the protection and management of forested areas.

A governance body was established within the Campo Aceval municipality, involving key stakeholders in decision-making. From the outset, the initiative applied participatory and inclusive practices, including consultation with local and Indigenous communities and representation of diverse stakeholder groups within the multi-stakeholder platform.

While the SourceUp safeguards guidance was not part of the initiative's original design, engagement with SourceUp provided an opportunity to strengthen and further systematize these existing practices. In 2025, the guidance was presented to the multi-stakeholder platform, which expressed interest in developing a Chaco-adapted approach. Solidaridad subsequently developed and piloted a safeguards document aligned with the SourceUp guidance and adapted to Paraguay's legal framework and local cultural context. The document was integrated into the platform's governance processes and made accessible through the project's digital information platform.

2. Risk Assessment



Risk is a central concept in safeguarding. As a LJI implementor, it is important to assess the risk of adverse social and human rights impacts occurring as a result of the project interventions, then implement safeguarding measures to mitigate those risks.

LJIs are often complex interventions with multiple objectives and activities and so the potential impact pathways can be numerous and not always clear. Understanding these requires thorough assessment and planning before an LJI moves to implementation. If the LJI is already underway and has not yet conducted a safeguarding risk assessment, it should do it as soon as possible.

The safeguarding process involves identifying and prioritising risks of adverse impacts on people, implementing measures to prevent or mitigate those impacts, monitoring effectiveness over time, and supporting access to remedy where impacts occur.

This is also valid for new interventions or activities in the life course of an LJI. A risk assessment on these new activities would be expected.

2.1 Identify risks of adverse social and human rights impacts

The following steps should be undertaken to identify the social risks associated with the LJI interventions:

- **Step 1:** Identify relevant stakeholders and rightsholders.
- **Step 2:** Desk-based risk assessment.
- **Step 3:** Initial key informant consultations.
- **Step 4:** Prioritise risks.

Step 1.
Identify the stakeholders and rightsholders

Map out all the LJI's activities and linked to that how the initiative will interact with and impact different groups of people. Pay attention, in particular, to marginalised groups and consider how power[5] dynamics may affect some groups' risks of exclusion, inequitable participation and barriers to raising concerns.

Suggested outputs:

- *Stakeholders mapping*

5 For reference to how to conduct stakeholders' consultations using power imbalances in mind, a wide range of resources can be found in the resources' box: eg. p.44 of Getting it Right - CIFOR , p.37-38 of Meaningful Stakeholder Engagement- Oxfam et al., p.6 of Stakeholder Consultation and Engagement Guidelines - Gold Standard.

Step 2.
Desk-based risk assessment

When implementing partners have little to no understanding of social risks, it may also be helpful to provide an overview of the types of generic risks that could occur in such an initiative, to provide an entry point to the identification of safeguards that are relevant for the specific initiative in question. Examples of risks of adverse social and human rights impacts associated with LJIs can be found in Table 2, Appendix 3.

Step 3.
Initial key informant consultations

Building on the desk-based review, targeted consultation with initial key informant representatives of potentially impacted groups is necessary. It will help to generate local information and insights, validate initial findings, fill knowledge gaps, and deepen understanding of risks. As part of the consultation preparation a stakeholder screening should identify:

- Vulnerable groups including presence of Indigenous Peoples and Local Communities (IP&LCs).
- Existing land tenure disputes.
- Risks of involuntary resettlement.
- Existing human rights concerns.
- Potential high-risk interventions.

Production landscape initiatives involve complex power relationships relating to access to markets and employment, which could pose an obstacle for creating an environment where participants and community members feel able to report issues.

It is therefore important to identify barriers that stop people from reporting misconduct and make changes to complaint and feedback mechanisms to make them safer and more accessible. This can be done at the same time as the risk assessment or when consulting stakeholders in the first stage of the process. Additionally, it is advisable to ask stakeholders for their preferred method of reporting grievances. See complementary guidance on grievance management in LJIs for specific guidance on accessibility when designing and implementing grievance mechanisms.

Suggested outputs:

- *Stakeholder screening of affected groups*
- *Human Rights Risk Assessment or Human Right Impact Assessment (HRIA) or Socio-Economic Impact Assessment (SEIA)*

CASE STUDY 3
Ecuador Northern Amazon Landscape
Social risk Assessment – Conservation International Ecuador

In general

Conservation International (CI) works to protect nature for the benefit of humanity. The vision is a healthy, prosperous world in which societies thrive alongside nature. Achieving this vision requires not only conserving biodiversity and ecosystems, but also ensuring that conservation actions are socially responsible, inclusive, equitable, and respectful of the rights, knowledge, and needs of the people and communities connected to these territories.

For this reason, social and environmental safeguards are an integral part of CI's approach to conservation. They help ensure CI's interventions address potential risks, avoid or minimize unintended impacts, and promote meaningful participation and equitable outcomes for stakeholders. This commitment is reflected in Conservation International's Environmental and Social Safeguard System (CISS), a comprehensive organisational-level safeguarding policy, as well as in different grievance reporting channels at the national level depending on the regions where CI works.

The framework emphasises accountability, stakeholder participation, respect for rights, gender inclusion, and environmental sustainability throughout the project cycle.

CI safeguard system is applied consistently across its global portfolio and is supported by established grievance mechanisms and risk management processes. Safeguards are incorporated into the LJI from the project design phase through an initial environmental and social risk assessment, as well as a preliminary stakeholder and gender analysis. These assessments are subsequently refined during the planning phase, once implementation resources are in place, with the active participation of key stakeholders.

The first step is to identify the project's risks. This is done through an internal tool called "Screening Form", which is a template that consists of an explanation of the policy and several questions that allow the team to identify the social and environmental risks related to: the initiative's context, the area of intervention and the stakeholders involved, based on CI's 10 safeguard standards (Social & Environmental).

The risk screening steps are:

1. An internal process and discussion to identify social and environmental risks related to the project with the project's team, led by project management and supported by safeguards management.

2. Completion of the online form with questions about the project and its potential negative impacts on people or the environment, according to CI's 10 safeguard standards (ESS). This form generates an initial automated analysis document that recommends the project's risk level and establishes the first recommendations for safeguards to be implemented.

3. Internal meeting with safeguards management to review and finally determine the project's risk level and the safeguards requirements to be activated (e.g., community plan, waste management plan, equitable benefit-sharing plan, etc.), as well as their scope (measures or actions for low risk, limited plans for medium risk, comprehensive plans for medium-high risk).

CASE STUDY 3 (Cont.)
Ecuador Northern Amazon Landscape
Social risk Assessment – Conservation International Ecuador

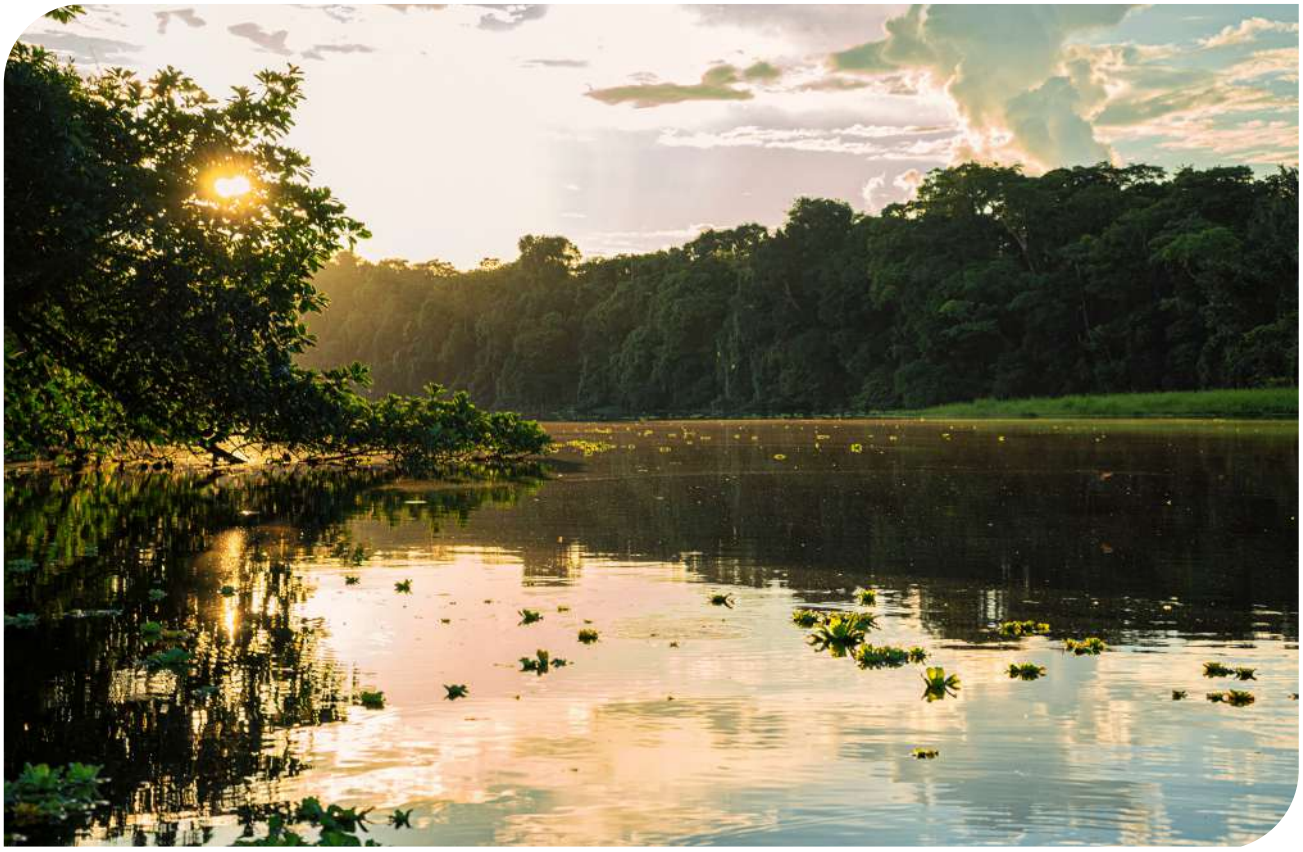
The Ecuador's case:

The Ecuador Northern Amazon Landscape is located in the Sucumbíos and Orellana provinces. In this LJI, Conservation International Ecuador (CI-Ecuador) aims to create a model that balances economic production and environmental protection, while improving local and Indigenous livelihoods through better governance, forest management, and sustainable production practices. This approach seeks to establish a model for nature positive economies that can be replicated in other regions of the Amazon.

The stakeholders found in the LJI are indigenous communities and associations, palm oil farmers and smallholders.

For this LJI, CI-Ecuador has conducted the corresponding analysis using the screening form and categorised the project as **medium-high risk**. This is due to the close work with indigenous communities and agricultural production activities. This must always be managed with protection measures, according to policy (respect and protection of collective rights and avoid deforestation/ degradation / contamination of nature as a cause of productive activities).

For more info on the risk Categorisation – Refer to the Categories' forms (A.B.C) found on CI's Safeguards Overview webpage.



Step 4.
Prioritise risks

Risks should be prioritised according to saliency to support in the planning phase (See in section 3). Saliency refers to the severity of potential impacts on people.

Where multiple activities, projects, or operations occur simultaneously, and/or where multiple partners are involved, risks should be assessed with consideration of their cumulative and combined impacts. The interaction of activities and partners may increase the severity, scale, scope, or likelihood of adverse impacts and should therefore be reflected in the risk prioritisation process.

Suggested outputs:

- *Risk prioritisation matrix*

2.2 Add and refine risk assessment via targeted data collection

Data related to social and human rights issues is often limited and data collection can be resource-intensive at the landscape level. Data collection may therefore need to be phased according to need. While an initial phase involving interviews with small sample sizes, and consultation with key informants (e.g. NGOs or researchers that work on these issues) could be used to initially identify risks of social harm (as per section 2.1, step 3), a best practice approach should include an in-depth risk assessment if initial scoping suggests a high risk of adverse impacts.



CASE STUDY 4
Western Mato Grosso Landscape Initiative
Consultations in the landscape to identify risks and benefits to communities – Western Mato Grosso Consortium

The Western Mato Grosso Landscape Initiative aims to implement and scale a model of deforestation- and conversion-free soy and cattle production that is socially and economically viable in the long term. The model is based on a territorial approach to local development, helping six municipalities (Tangará da Serra, Alto Paraguai, Campos de Júlio, Campo Novo do Parecis, Sapezal, and Diamantino) transition toward a forest-positive and resilient production landscape.



March 2024, Social Safeguards Participatory Workshop in Federal Institute of Mato Grosso, Diamantino (Photo credits, Proforest)

The initiative is built around four strategic pillars: Governance, Produce, Conserve, and Include, and is being implemented by a consortium comprising the Amazon Environmental Research Institute (IPAM), PCI Institute, Producing Right, and Proforest (2023–ongoing). It is supported by several co-investors, including consumer goods companies, soy traders, and innovation promotion funds.

As part of the development of the social safeguarding process (A key activity of the ‘’Include Pillar‘’ of the initiative), a social risk assessment was done. It was realised in 3 steps:

1. Internal discussion and literature review.

2. Risk screening with the Consortium partners.

3. Consultation with local stakeholders.

Proforest team members, accompanied by a socio-environmental consultancy collective with facilitation and IP&LCs’ expertise, conducted 25 semi-structured interviews and 6 participatory local workshops with representatives from different stakeholder groups: public and private sectors’ representatives, large soy producers, representatives of Indigenous Peoples, small farmers (subsistence agriculture) and university researchers, amongst others.

Stakeholders were asked about the potential negative consequences they would consider to be associated with the Initiative’s interventions, and what could be done to prevent these identified potential negative consequences. In addition, the participants were asked about the potentially positive effects of this kind of initiative across all areas of interventions planned to improve multi-stakeholder governance, scale sustainable production practices, natural ecosystem conservation and inclusion of local actors. The planning, delivering and analysis following these workshops took about three months.

Additional Resources and tools for social risk assessment and consultations best practices



- Human Rights Assessment Guidelines, Landscale 2021
- Salient Human Rights Issues (UNGP Reporting Framework)
- HRIA At Landscape Level-Discussion paper (Landscale,SourceUp,Proforest, 2020)
- International Land Coalition's Participatory Mapping as a Tool for Empowerment (2008) and case studies on participatory mapping from the ILC Learning Hub's Database of Good Practices
- Conservation International's Sustainable Landscape Approach: Implementation Guidebook (2018), particularly section 1.4 on Multi-stakeholder engagement
- Respecting the Rights of Indigenous Peoples and Local Communities in Landscape Initiatives (Landesa & Proforest), March 2023
- Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets – Stakeholder Consultation (IFC, 2007)
- Stakeholder Mapping Template, Landesa 2029
- Community Consultation Checklist, Landesa, 2019
- Getting it right, a guide to improve inclusion in multi-stakeholder forums - CIFOR-ICRAF Knowledge: Publication
- Stakeholder Consultation and Engagement Guidelines, Gold Standard for the Global Goals, 2022
- Meaningful Stakeholder Engagement: Practical Guidance for Companies in the Agriculture and Food Manufacturing Sector, Oxfam et al, 2026

3. Planning and Implementation

There are two steps in planning and implementation. First the development of a safeguarding and implementation plan and second, the design of a mechanism for affected people to receive remedy.

3.1 Develop a safeguarding and implementation plan in consultation with key stakeholders

An LJI should have a safeguarding plan that sets out how safeguarding measures will be implemented and clearly assigns associated roles, responsibilities and timelines to the parties involved in the LJI.

Minimum expectation is for the initiatives to design safeguarding measures for identified salient risks while more mature LJIs should address all risks.

When planning how to respond to each risk identified/prioritised, a number of mitigation strategies can be considered. (See Figure 3 below):

Mitigation strategies		Action
	Avoid / Prevent	Taking proactive measures to completely avoid or eleminate certain risks.
	Reduce	Implementing strategies and controls to minimise the likelihood of risk occuring and the severity of the impact when it does occur.
	Transfer / Share	Transferring or sharing the risk with a third-party.
	Accept	Tolerate the risk as acceptable; the costs of mitigating the risk outweigh the harm.

Figure 3. Risk mitigation strategies.

Designing appropriate safeguarding measures should be carried out with the full and effective participation of interested stakeholders, including marginalised and minority groups such as IP&LCs and women's representatives.

Some examples of adverse social and human rights impacts and associated safeguarding measures can be found in Table 2, Appendix 3.

The plan should consider practical implementation factors, including available resources, partner capacity, governance arrangements, and any barriers that may affect the implementation of safeguarding measures. For example, the roll out of safeguarding measures to third party suppliers and contractors is frequently cited as a challenge by LJI implementors.

CASE STUDY 5
Ecuador Northern Amazon Landscape
Safeguarding Plan – Conservation International Ecuador

General Approach

Conservation International (CI) plans the safeguard measures according to the identified risks. The safeguard measures to be implemented in the project are organised into plans: social and environmental management plan, gender action plan, stakeholder plan, transparency and accountability plan, and, when there are Indigenous territories involved, a specific plan for Indigenous Peoples.

The safeguard plans have a level of detail that help the project's staff to walk through the implementation with concrete goals and indicators that define the scope of each activity. This includes a matrix that links the corresponding CI standard with the identified risks per activity, and for each risk there is an accompanying explanation of the safeguard activity or measure, the goal and its indicator.

Ecuador Northern Amazon Landscape Approach

For the Northern Amazon Landscape, the following plans were established for safeguarding implementation, as a result of the landscape-level risk mapping:

1. Safeguards Plan: a) Protection of natural habitat and biodiversity; b) Indigenous Peoples; c) Pollution prevention and efficient use of resources; d) Community safety; e) Financial intermediaries.

In addition, the following action plans were drawn up as part of CI's general operating policy:

2. Comprehensive Stakeholder Plan (including a stakeholder analysis and specific actions for participation measures).
3. Indigenous Peoples Plan (this is a standalone plan for all CI's safeguarding procedures, regardless of the outcomes of the risk assessment).
4. Gender Plan (this is a standalone plan for all CI's safeguarding procedures, regardless of the outcomes of the risk assessment).





November 2025. The Parutu Warmi Association, in the Parutu Yaku Kiwcha community, is developing a project to boost the production of traditional Kichwa handicrafts, which will support the livelihoods of 20 Kichwa women and their families. (Photo credits, Conservation International Ecuador)

Central to success:

A key point regarding safeguards for the project is that the Indigenous communities and nationalities with which CI engages are partners, not beneficiaries. The principles of the rights-based approach are reflected in this work, in which, following initial discussions with the governing councils of Indigenous organisations, common ground and work plans are established that directly contribute to strengthening their territorial governance and are incorporated into their management tools—such as life plans, management plans, or governance mandates—based on CI's sustainable landscape approach components:

1. conservation of natural heritage,
2. sustainable production and bioeconomy, and
3. equitable governance and human rights.

Final key consideration in implementing the safeguarding policy:

Safeguards reflect "how" a project is executed, respecting and protecting people and nature throughout all the project's stages. Often, integrating this approach with safeguards and gender lenses can result in additional work for the team and an increased budget. That is why it is key to consider the risk analysis and safeguards to be implemented during the initial project design stages, to account for both the necessary budget and the appropriate profiles to carry it out.

The safeguarding plan is a living document: as the measures are implemented and monitored and/or new risks identified the plan will need to be adjusted. There should be clarity on whose role it is (organisation and role) to own and manage the plan.

During the development of the safeguards, it is recommended that you undertake an assessment of the capacity of implementing partners to carry out and comply with safeguarding measures. This process can also help identify resources and capabilities that can be mobilised.

The plan can also take account of limited resources – both for identification of risks and for taking appropriate safeguarding measures – by laying out a stepwise approach to strengthening safeguarding i.e. a type of continuous improvement approach.

Organisations might find it useful to develop a stand-alone document or to integrate it in the main management or implementation plan. Whatever the output forms, it is of paramount importance that it is shared with relevant stakeholders.

Steps to monitor the implementation of the safeguarding plan (via Safeguarding targets or indicators) should also be incorporated in the implementation plan. This will simplify and complement monitoring efforts of the whole progress (See section 4).

Suggested outputs:

- *Action plan can be targeted by specific groups (Gender, Minority groups, Indigenous Peoples, vulnerable communities)*
- *Added timelines for execution of safeguarding measures*
- *Consultations report(s), feedback and recommendations documents and reports*



CASE STUDY 6
Western Mato Grosso Landscape Initiative
Implementation of the social safeguards – Western Mato Grosso Consortium

To ensure effective implementation of social safeguards by all implementing partners, and in alignment with the ambition to establish a Monitoring, Reporting and Verification (MRV) system at the landscape level, risk mitigation measures were developed for each social safeguard, in addition to the development of KPIs to monitor their implementation. It was essential to identify which measures were already in place, and which ones required new efforts and action plans. This process faced challenges, particularly in ensuring that all implementers understood how safeguards are operationalised.

Intervention related	80 properties, covering up to 160,000 hectares, in accordance with the forest code
	10 properties, covering up to 15,000 hectares of soybean production, RTRS certifies or other certifications
Groups potentially affected	IP&LCs, smallholders and Soy producers
Municipalities related	Tangará da Serra, Diamantino, Alto Paraguai, Campos de Júlio, Campo do Paracis e Sapeza

Risks related	Risk mitigation measures	Responsible entity	Means of verifications (KPIs)
Increased legal deforestation and conversion of areas to expand production, which may lead to conflict scenarios with IP&LCs over land or resource uses.	Ensure criteria for elegibility and maintenance of farmers in Produzindo Certo Platform consider respect for IP&LC rights related to land and use of resources.	Produzindo Certo	Number or percentage of soybean producer farms identified with social or environmental issues to be addressed with the support from the Initiative.
Risk of harm to people due to soil degradation, reduction in water availability for smallholder production, pollution of rivers and groundwater due to the use of agrochemicals.	Provide technical assistance to producers included in the Produzindo Certo Platform on soil and water conservation, licensing for the use of water in irrigation, the use of agrochemicals and best socia-environmental practices.	Produzindo Certo	Number or percentage of engaged producers who received technical assistance on soil and water conservation, licensing for the use of water in irrigation, the use of agrochechemicals and best socio-environmental practices.

CASE STUDY 6 (cont.)
Western Mato Grosso Landscape Initiative
Implementation of the social safeguards – Western Mato Grosso Consortium

As part of this effort, KPIs were developed to monitor the implementation of the risk mitigation measures of the social safeguards.

Examples of risk mitigation measures that have progressed following the development of the Safeguards Plan include the continued efforts to engage and increasingly involve IP&LCs and smallholders' representatives in local Governance groups, ensuring their participation in the development of the Long-Term Strategy of the initiative and their involvement in other activities.

In addition, technical assistance has been expanded to a greater number of producers to support the implementation of good practices on their farms, such as regenerative agriculture practices and commitments to DCF production, thereby promoting responsible soy production.

As endorsed by the Safeguards Plan, a Communications Plan was also established, with the objective of creating appropriate channels to share information about the initiative. In this context, the initiative's website was developed. Furthermore, to still ensure responsible communication, engagement and transparency, a Grievance and Resolution Mechanism was developed and the grievances can be sent by any stakeholder in the territory of the initiative through a form in the initiative's website or directly via email on ouvidoriaoestemt@gmail.com. Its corresponding policy and operational procedure are available here and there you can find the main information about the mechanism, such as its scope, governance and the resolution procedure with deadlines and responsibilities.



3.2 Design the Grievance procedures

Once barriers to reporting and appropriate communications channels have been identified, the grievance mechanism should include clear reporting pathways and procedures for handling complaints that are suited to the local context.

In the complementary guidance on grievance management in LJIs refer to *Phase 1: Design and Establishment.*

CASE STUDY 7
Ecuador Northern Amazon Landscape
Grievance Mechanism system locally adapted – Conservation International Ecuador

CI-Ecuador's Grievance Mechanism "CI-Escucha"

As part of Conservations' International's (CI) rights-based approach, the organisation seeks to ensure that all projects implemented by the organisation incorporate social and environmental safeguards related to equitable governance, gender equity, full and effective participation, and respect for the traditional ways of life of Indigenous Peoples and local communities. The goal is to ensure that ecosystem conservation efforts generate no negative outcomes and also enhance people's well-being.

Within CI's Social Safeguards (CISS), an accountability and grievance mechanism has been developed. Through this mechanism, all individuals involved in CI's projects can exercise their right to express and resolve their concerns and/or complaints. The mechanism's scope also considers them to receive a timely, adequate, and meaningful response regarding any issues —whether actual or perceived as negative— arising from project implementation.

"CI-Escucha" is a channel for individuals, communities, institutions, organisations, and associations to quickly, securely, and confidentially submit requests related to access to information, suggestions, inquiries, claims, or complaints regarding the work of Conservation International Ecuador.

How does it work?

- **Reception:** Through the established channels, CI notifies the applicant(s) and determines whether the request will be processed.



Outreach materials. Credit: Conservation International Ecuador

- **Revision:** Within 5 days, CI confirms receipt and provides instructions on how to proceed.
- **Attention:** Within 30 days, CI will contact the applicant(s) again, and work together to determine how to address the request.
- **Resolution and closure:** Once the request has been successfully processed, a closure report is sent.

What are the channels for submitting requests?

To report any issues or misconduct, stakeholders benefit from various channels to report on

- **Virtual ones:** Web, email and ethics line.
- **Physical:** via a physical form to drop in the various 4 offices of CI in Ecuador.

3.3 Receive, Process, and Respond to Grievances

Throughout the implementation of the safeguarding plan, it is important to maintain and build trust between rightsholders, representatives of other stakeholder groups, NGOs and project partners. Trust influences not only how comfortable people feel reporting concerns or misconduct, but also how effectively project partners can gather information from stakeholders to support the processing and resolution of grievances as the initiative evolves.

Note that a grievance mechanism deals specifically with complaints raised by or on behalf of affected stakeholders. Safeguarding concerns may also be identified through internal reporting channels, monitoring activities, audits, incident reporting procedures, or other safeguarding processes. See Section 4.1 for guidance on monitoring and identifying adverse impacts through these mechanisms.

Critical incident escalation

In case of critical incidents (i.e. life threats to Human iRghts Defenders (HRDs) or community members, sexual intimidation and violence, exploitation), a severe escalation procedure must be applied and cases handed promptly.

In the complementary guidance on grievance management in LJIs refer to *Phase 2: Receiving, Processing, and Responding to Grievances*.

Additional Resources to support grievances best practices

- Proforest, Cargill, FLA, Landesa, GEC: Guidance on grievance management: an introduction to the series
- UNGPs: Effectiveness criteria
- AIM-Progress: Grievance mechanism Maturity

3.4 The safeguarding plan has mitigation associated to all risks

If resources allow, or at later stages of the project, mitigation activities should be developed for all risks identified including risks with lower saliency.

Where saliency is low it may be appropriate to employ a 'monitor and respond' approach to safeguarding using various mitigation strategies over time (See Figure 3 above). Even when this is the case, it is important to still document the strategies used, the risk addressed and continue to re-evaluate this during the lifetime of the LJI project.

Additional resources to support safeguarding planning

- Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets (IFC,2007)
- Stakeholder Engagement Interview Guide – Danish institute for Human Rights (2016)

4. Monitoring & Reporting

4.1 The LJI has a system for monitoring safeguards implementation and challenges

The LJI should establish a monitoring system that includes:

- Clear indicators relating to safeguarding implementation, risks and outcome.
- Regular review and adaptive management processes.
- Stakeholder and community engagement in monitoring and feedback processes.

Safeguarding should be treated as an ongoing, proactive process to prevent harm, rather than a one off procedural requirement. Integrating safeguarding indicators into the monitoring system ensures that commitments are applied in practice and remain effective over time.

Clear indicators relating to safeguarding implementation, risks and outcomes

Including safeguarding-related indicators within monitoring systems can help organisations assess whether safeguarding commitments are being implemented as intended and identify areas where adjustments may be required.

Indicators can help organisations monitor the implementation of safeguarding measures, assess the functioning of reporting and response processes, and identify emerging risks or implementation challenges. By systematically monitoring indicators such as staff knowledge levels, reporting trends, response timeliness, and outcomes of safeguarding cases, organisations can identify strengths, gaps, and emerging risks early.

Suggested outputs:

- *Safeguarding plan: adding KPIs at the end of each planned activity (Table)*
- *KPI progress tracking table*
- *Monitoring reports on safeguarding implementation and outcomes*

Regular reviews and adaptive management

Because risks can change over time, the risk assessment and the accompanying safeguards should be regularly reviewed and, where needed, updated. Regular reviews and adaptive management are therefore a crucial part of an effective safeguarding system.

This should include both operational monitoring, to determine whether the safeguarding plan is being implemented in full, and the monitoring of risks to identify whether safeguarding measures have been effective and whether any new risks have emerged.

Based on the outcomes of this regular monitoring, the safeguarding plan should be adapted or updated as needed to reflect changing conditions, lessons learned, stakeholder feedback and new activities introduced within the LJI.

Suggested outputs:

- *Timelines for review (usually annually) explicitly stated in plan*
- *Review meetings and learning workshops*
- *Field-level monitoring reports*
- *Grievance mechanism summary reports*
- *Updated safeguarding plans where required*

Stakeholder and community engagement in monitoring

Affected stakeholders and communities should be given opportunities to provide feedback on the implementation and effectiveness of safeguarding measures throughout the life of the initiative.

Engaging communities in monitoring processes can help identify emerging risks, understand how safeguarding measures are experienced in practice, and surface concerns that may not be captured through project-level monitoring systems alone. Such engagement can also strengthen transparency, accountability and trust between implementing partners and stakeholders.

Engagement approaches may include community consultations, participatory review meetings, feedback mechanisms, grievance trend analysis, or other locally appropriate processes that allow stakeholders to share experiences, concerns and recommendations.

Suggested outputs:

- *Records of stakeholder feedback collected through monitoring activities*
- *Community consultation or review reports*
- *Documentation of actions taken in response to stakeholder feedback*

4.2 Community-based monitoring is used as an additional monitoring tool

Where capacity, resources, and local interest allow, LJIs may support the establishment of Community-Based Monitoring (CBM) approaches as part of their safeguarding system.

Community-Based Monitoring refers to processes undertaken by communities to assess and track issues affecting their lands, territories, resources, rights, cultures and livelihoods.

Community-based monitoring can strengthen safeguarding systems by enabling communities to play a more direct role in identifying, monitoring and communicating potential adverse social and human rights impacts. It can provide locally grounded information, improve accountability, and support early identification of safeguarding concerns.

When appropriately designed, CBM can complement project monitoring systems and grievance mechanisms by bringing the perspectives and experiences of affected people directly into monitoring, learning and adaptive management processes and may help improve accessibility and participation, particularly where barriers to engagement exist.

Suggested outputs:

- *Protocols for community-based monitoring*
- *Community monitoring committees or focal points*
- *Periodic community monitoring reports*
- *Socialisation and accessibility plans supporting community participation in monitoring activities*

Additional resources on monitoring safeguards



- Nuestras salvaguardas | WWF
- Indicators of Common Guidance for the Management and Monitoring of High Conservation Values (HCV Network, 2018)
- Framework - Community Monitoring of the Rights to Food and Livelihood SISREDD+: start of monitoring through indicators of the Brazilian safeguards information system (2021)

4.3 The grievance mechanism process and outcomes are communicated to relevant stakeholders

Information about the grievance mechanism process (complaints and access to remedy for people adversely affected: also sometimes referred to as conflict resolution) should be disclosed publicly via means appropriate to stakeholders.

At a minimum, regular summaries of the mechanism's performance should be published, while respecting confidentiality and minimising risks of retaliation.

Suggested outputs:

- *Flowchart or external facing document showing steps and expected response times and include it in community outreach materials, community posters or infographics*

4.4 The grievance resolutions are publicly disclosed

Information about complaints, grievances, and their resolution may be publicly disclosed on a regular basis, using communications channels that are accessible and appropriate for stakeholders, whilst respecting confidentiality requirements.

Best practice is to provide the following information:

- *How many cases*
- *Issues raised*
- *Time taken to address the issues*
- *How the issues were addressed*
- *What action is taken to mitigate from this happening again*

Finally, transparency by LJI implementers towards partners and funders regarding identified issues and grievances raised, particularly when undertaken at an early stage, can help prevent safeguarding concerns from escalating, thereby reducing the risk of adverse impacts and associated reputational issues.

In the complementary guidance on grievance management in LJIs refer to *Phase 3: Monitoring and Evaluation*

4.5 Project-Wide Grievance Mechanism Integrated into LJI Governance

In line with recognised best practice for LJIs, the grievance mechanism is established at the broader project or jurisdictional level rather than as separate, safeguards-specific mechanisms established for individual activities or projects.

Grievances are integrated into and addressed through existing LJI governance structures—such as a multi stakeholder platform (MSP) — to ensure coherence, accessibility, and consistency across the LJI landscape.

While this approach represents best practice and promotes collective ownership and legitimacy, its full implementation may not always be feasible in contexts where resources and, critically, time are limited. In such cases, pragmatic adaptations may be required while maintaining the core principles of transparency, accountability, and stakeholder participation.



Appendix 1:

Quick Overview of Minimum Expectations – Checklist

Safeguard System Enablers	Minimum Expectation	Best-in class practice
A) Governance and accountability	✓	
B) Capacity building of key LJI staff	✓	
C) Provision of remedy	✓	
1. Commitments		
1.1 High-level commitment to safeguarding in the LJI	✓	
1.2 Commitments are developed through participatory approaches		★
1.3 Commitments embedded in local MSP processes		★
2. Risk Assessment		
2.1 Identify risks of adverse social and human rights impacts	✓	
2.2 Add and refine risk assessment via targeted data collection		★
3. Safeguard Planning & Implementation		
3.1 Develop a safeguarding and implementation plan in consultation with key stakeholders	✓	
3.2 Design the Grievance procedures	✓	
3.3 Receive, Process, and Respond to Grievances	✓	
3.4 The safeguarding plan has mitigation associated to all risks		★
4. Monitoring and Reporting		
4.1 The LJI has a system for monitoring safeguard implementation and challenges	✓	
4.2 Community-based monitoring is used as an additional monitoring tool		★
4.3 The grievance mechanism process and outcomes is communicated	✓	
4.4 The grievance resolutions are disclosed publicly		★
4.5 Project-wide grievance mechanism integrated into LJI Governance		★

Appendix 2:

High-level commitments on social safeguards in LJIs

Critical safeguarding component	Suggested high-level safeguarding commitments
Gender Equality and Women's Rights	• Do not directly or indirectly reinforce gender-based discrimination and or contribute to adverse impacts on gender equality or women's rights, including: – Sexual harassment and/or violence against women, sexual exploitation, or human trafficking. – Slavery, imprisonment, physical and mental drudgery, punishment, or coercion of women and girls. – Increases to women's work burden and time. – Restriction of women's rights or access to resources (natural or economic). – Failure to recognise women's ownership rights (such as due to marital status). • Build awareness about the need for gender equality in natural resources management and sourcing. • Promote balanced gender representation, including supporting women, sexual and gender minorities and into decision-making roles. • Monitoring, recording and sharing of outcomes and impacts in relation to gender equality and women's rights in initiatives.
Community Health, Safety and Working Conditions	• No negative impact on health. • Follow strict Health & Safety procedures, including prevention of spread of communicable diseases (e.g., processes to safeguard communities in case of epidemics/pandemics). • No sexual exploitation, abuse, or sexual harassment associated with initiative activities. • No harassment or discrimination by project staff or subcontractors. • Protection of project staff and subcontractors from harm. • Prevention of child labour in initiative activities. • Ensure living wages for personnel working on projects. • Guarantee safe working conditions, and living conditions, where applicable for those working in the initiative. • Respect labour rights as laid out in national law and international conventions.

High-level commitments on social safeguards in LJIs (Cont.)

Critical safeguarding component	Suggested high-level safeguarding commitments
Cultural Heritage, Indigenous Peoples and Local Communities, Displacement and Resettlement	• The initiative shall not involve or be complicit in the alteration, damage, or removal of any sites, objects, or structures of significant cultural heritage without explicit Free, Informed and Prior consent (FPIC) of the relevant communities. • Respect for Indigenous Peoples' rights to FPIC and to self-determination. • Respect for local communities' rights to FPIC ; and substantive participation in consultative processes and decisions that may impact their lands, resources or livelihoods. • Respect of land rights, including formal and customary land rights. • No involuntary resettlement. • No economic displacement.
Corruption	• No involvement in corruption. • Flagging or reporting corruption if it is identified or suspected.
Economic impacts	• Avoid any negative economic impacts, particularly in vulnerable communities and smallholders. • Ensure that benefit sharing arrangement results in equitable benefits for women, IP&LCs, and other minority power groups.

Appendix 3:

Risk of interventions to people in a LJI and associated safeguarding measures – some examples

Table 2. Suggested steps for reviewing safeguarding risks and associated safeguarding measures for reference

Critical safeguarding component	Suggested steps for reviewing risks by component	Examples of risk of adverse social and human rights impacts	Examples of safeguarding measures (other measures may be more appropriate: it will depend on the specific context)
Stakeholder and Community Engagement	• Identify all communities and other relevant stakeholders in the project area or that could be affected by the LJI.	• Risk of corruption, entrenching exclusion or power imbalances and elite capture when working with producer or community groups (e.g. community forest groups).	• Ensure effective studies of community structures, and gender analysis have informed decisions on how to engage with communities, that proposals and decisions are discussed and agreed in meetings of members of communities, not just with leaders. • Ensure the input of and potential impacts on more marginalised groups are taken into account, e.g. women, youths, people outside of the formal community.
Gender Equality and Women's Rights	• Evaluate potential positive and negative impacts on men and women, paying attention to potential discrepancies based on gender.	• Activities that could increase women's work burden, limit or restrict women's access to resources, or result in women being excluded from decision-making platform. • Risk of harassment or discrimination by and toward project staff or contractors, e.g. agricultural extension officers.	• Hold consultations with only women (led by female consultation team members), establish mixed consultation teams and ensure meetings are held in easily accessible and safe spaces, at carefully considered times of day. • In response to risks identified, consider appropriate action that combines prevention with awareness raising and how to raise concerns or issues, e.g. explain zero tolerance for harassment / discrimination to project staff and others, e.g. community leaders/ members and companies.

Table 2. Suggested steps for reviewing safeguarding risks and associated safeguarding measures for reference (Cont.)

Critical safeguarding component	Suggested steps for reviewing risks by component	Examples of risk of adverse social and human rights impacts	Examples of safeguarding measures (other measures may be more appropriate: it will depend on the specific context)
			• Provide clear rules and awareness raising on expected behaviour of project staff when visiting communities and expected treatment of project staff by hosts. No staff to visit alone (always in pairs), whenever feasible and/or practical. Provide training on how to respond to harassment and discrimination. • Consultations compatible with the work and home schedules of men and women.
Community Health, Safety and Working Conditions	• Identify potential negative impacts to community health, safety, and working conditions.	• Security risks for participants if travelling and gathering in insecure regions. • Risk of unsafe working conditions, for example in agricultural or construction contexts.	• Establish travel procedures, checklists, and provide training on safety and security to those travelling to insecure areas. And/ or request support from security authorities (e.g. military/police) in high-risk areas. • Carry out risk assessment of potential impacts, and act on these via an appropriate mix of awareness raising, operating procedures, capacity building on good practice, personal protective equipment (PPE), and safety equipment (e.g., seat belts, protective guards on equipment, adequate storage application and disposal facilities for agrochemicals). • Monitor and record incidents (including near misses), share results and take action to address.

6 A few examples of best practices and tools or guidance to inform more inclusive consultations can be found here: Danish Institute for Human Rights: Stakeholder Engagement Interview Guide, CIFOR-ICRAF: Getting it right, a guide to improve inclusion in multi-stakeholder forums, , Landesa: Community consultation Checklist/ Designing a stakeholder engagement plan , Gold Standard for the Global Goals: Stakeholder Consultation and Engagement Guidelines , Meaningful Stakeholder Engagement: Practical Guidance for Companies in the Agriculture and Food Manufacturing Sector, Oxfam, 2026

Table 2. Suggested steps for reviewing safeguarding risks and associated safeguarding measures for reference (Cont.)

Critical safeguarding component	Suggested steps for reviewing risks by component	Examples of risk of adverse social and human rights impacts	Examples of safeguarding measures (other measures may be more appropriate: it will depend on the specific context)
Community Health, Safety and Working Conditions	• Assess land and resource rights in the LJI area and identify rightsholders, including those with non-ownership rights such as access and use rights. • Ensure identification of all Indigenous Peoples and local communities with collective rights (statutory or customary) to land or resources, either within the LJI area or that otherwise stand to be impacted by its activities. • Conduct due diligence to determine that participants in LJI have a legitimate (statutory or customary) right to land according to the applicable tenure system of the project site, which enables them to manage and use the land as needed to carry out project activities and receive compensation for benefits from the initiative. • This due diligence should include consideration of gender inequities that may be reinforced unless proactive measures are taken to ensure equitable outcomes. • This due diligence should also include consideration of historical context and screening for legacy issues related to how the land was acquired, such as improper acquisitions or coerced land takings, as well as assessing if there are conflicting or disputed rights between or within communities. • Determine in advance whether the LJI intends to utilise knowledge, innovations, or practices of Indigenous Peoples and/or local communities.	• Failure to respect land tenure of IP&LCs resulting in loss of access, resources, livelihood or cultural spaces.	• Support land register systems that show who hold tenure rights within an area of interest.

Table 2. Suggested steps for reviewing safeguarding risks and associated safeguarding measures for reference (Cont.)

Critical safeguarding component	Suggested steps for reviewing risks by component	Examples of risk of adverse social and human rights impacts	Examples of safeguarding measures (other measures may be more appropriate: it will depend on the specific context)
Economic impacts	• Identify barriers for men and women smallholders to participate in and benefit from the LJI.	• Financial risks to people from livelihood diversification projects or alternative income generation projects that are poorly designed or executed or have unintended consequences.	• Develop cost-benefit analysis and livelihoods impact risks models before setting up or designing alternative livelihoods plans within the intervention context. • Use gender analysis to understand the roles of men and women and how any interventions could impact them. • Ensure wide consultation to understand possible impacts. Use periodic monitoring via key informant interviews and surveys to measure impacts (positive and negative) on a wide range of people (not just direct participants).
Corruption	• Understand levels of corruption, e.g. by making use of country corruption risk indexes.	• Risk of corruption and theft from procurement activities.	• Establish transparent and documented procurement procedures that include proportionate due diligence checks on suppliers and contractors, clear procurement criteria, and fair, competitive selection processes, with defined roles, approval thresholds, and oversight mechanisms.

Appendix 4:

Glossary or Key Definitions

Community-based monitoring (CBM) or community-based monitoring system (CBMS):

While there are many definitions and specific actions that could be counted as CBM, here, we understand a CBM as being a participatory tool used in a process to design, plan, collect and analyse information on natural resource use and community well-being for decision-making.

Corruption:

Corruption is a form of dishonesty or a criminal offense which is undertaken by a person or an organisation which is entrusted in a position of authority, to acquire illicit benefits or abuse power for one's personal gain.

While there are many forms of corruption, for the purpose of this guidance and linking with LJI activities, corruption is here is understood as all form of practices or unfair ways of doing business or activities for example:

- Bribery and extortion (private-to-public and public-to-private)
- Informal payments
- Embezzlement and misappropriation of funds
- Nepotism and cronyism
- Cartelisation
- Non-declaring conflicts of interest
- Fraudulent land transactions

Economic displacement:

Economic displacement refers to the situation where individuals or communities lose their livelihoods due to changes in the economy, often triggered by external factors such as technological advancements, policy shifts, or environmental changes. This phenomenon can lead to significant social and economic challenges, especially when linked to issues like climate change, which can disrupt traditional industries and force populations to adapt or relocate. Economic displacement often disproportionately affects vulnerable populations, including low-income communities and marginalised groups, highlighting social inequalities.[7]

- **Free, Prior and Informed Consent (FPIC):**
  Free, Prior and Informed Consent is a principle protected by international human rights standards that state, 'all peoples have the right to self-determination' and 'the right to freely pursue their economic, social and cultural development'.

- **Free:** Consent given voluntarily and free of "coercion, intimidation or manipulation"; without undue influence; or manipulation through cash donations to influential community members.

- **Prior:** Consent is sought sufficiently in advance of any authorisation or commencement of activities.

7 Standard 5 – Displacement and Resettlement | UNDP SES Toolkit

- **Informed:** Refers mainly to the nature of the engagement. Information should be complete and simplified in the language that is understood by the community.

- **Consent:** To the collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples. Consent must be sought and granted or withheld according to the unique political-administrative dynamic of each community.

Grievance:

A grievance is a claim of social or environmental harm in which an actor has caused, contributed to, or is directly linked to (i.e. through a contractor) harm experienced by an individual or group. Grievances may concern human rights, such as labour rights, land rights or other specific human-rights issues, or environmental impacts, such as deforestation, peat development or other environmental issues. In the context of this guidance, the focus is on human-rights-related grievances connected to LJIs.

Grievance mechanism/management system:

Grievance mechanism is defined by the UN Guiding Principles on Business and Human Rights (UNGPs) as "any routinised, State-based or non-State-based, judicial or non-judicial process through which grievances concerning business-related human rights abuse can be raised and remedy can be sought."

A "grievance mechanism or management system" relates to the process a party puts in place to receive, manage and remedy grievances (sometimes known as a grievance procedure, grievance mechanism or grievance remediation mechanism).

Human Rights Defenders:

Human rights defender is a term used to describe people who, individually or with others, act to promote or protect human rights in a peaceful manner. Human rights defenders are identified above all by what they do and it is through a description of their actions…and of some of the contexts in which they work…that the term can best be explained.[8]

Indigenous Peoples and Local Communities (IP&LCs):

Acknowledge that there is no formal definition in international law of Indigenous Peoples, in part because of the variance across local contexts and because a critical right of Indigenous Peoples is to self-identification and determination. Shared common traits of Indigenous Peoples include self-identification as Indigenous Peoples; distinct social, economic or political systems; distinct language, culture and beliefs; strong link to territories and surrounding natural resources; forming non-dominant groups of society; historical continuity with pre-colonial or pre-settler societies; and resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.

With the term 'local communities,' we are referring to communities – traditional or otherwise – living around, or potentially affected by, operations and business relationships. This includes a variety of distinct ethnic groups who may also hold land collectively, but who are not considered Indigenous Peoples.

Legacy issues (land)

An enduring grievance with affected communities or historic land occupants or their descendants related to the terms and processes by which land was previously acquired and subsequently used by a company or other entity, and which has been left unresolved, in part or in full, by the predecessor or existing project developer.[9]

8 About human rights defenders – Special Rapporteur on human rights defenders | OHCHR
9 Taken from The Interlaken Group: Land Legacy Issues Guidance on Corporate Responsibility

Landscape and Jurisdictional Initiatives (LJIs):

Landscape and jurisdictional initiatives are long-term, place-based, collaborative, multi-stakeholder approaches to realise common goals and positive outcomes for people, nature, and climate in the context of agricultural production.

A variety of different landscape and jurisdictional initiatives are being developed. They generally combine most or all the following elements:[10]

- Development and implementation at the scale of a jurisdiction (i.e. local or national government) with a focus on the performance of the whole landscape.
- Participation of government together with other stakeholders such as civil society groups, communities, private sector companies and farmers.
- One or more shared goals that support sustainable development (e.g. reducing deforestation, eliminating child labour or supporting smallholders).
- Alignment of the activities and inputs of different stakeholders (e.g. incentives, enforcement, and planning) to increase effectiveness.
- Accountability to provide credibility and assurance including long-term governance, monitoring, transparency, communication, and verification.

Rightsholders

Individuals or groups of people who are actually or potentially adversely affected by a proposed operation, product, project or programme. Rightsholders are entitled to enjoy and exercise their rights by virtue of being human, as well as to access effective remedy when their rights have been breached.

Salient risk

The concept of saliency uses the lens of risk to people, not the [initiative], as the starting point, while recognising that where risks to people's human rights are greatest, there is strong convergence with risk to the [initiative]. Although the concept of saliency is taken from the UNGPs and was conceived for companies it is a useful reference and can be applied to initiatives.

The emphasis of salience lies on those impacts that are:

Most severe: based on how grave and how widespread the impact would be and how hard it would be to put right the resulting harm.

Potential: meaning those impacts that have some likelihood of occurring in the future, recognising that these are often, though not limited to, those impacts that have occurred in the past.

Negative: placing the focus on the avoidance of harm to human rights rather than unrelated initiatives to support or promote human rights.

Impacts on human rights: placing the focus on risk to people, rather than on risk to the business.

10 See more details in this briefing: Introduction to landscape or jurisdictional initiatives in commodity agriculture

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