

IN-MEETING

Draft Tool

Article 6.4 sustainable development tool

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United Nations
Framework Convention on
Climate Change

COVER NOTE

1. Procedural background

1. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its third session, requested the Supervisory Body of the mechanism established by Article 6, paragraph 4, of the Paris Agreement (Article 6.4 mechanism) to review the sustainable development tool in use for the clean development mechanism (CDM SD tool) and other tools and safeguard systems in use in existing market-based mechanisms to promote sustainable development with a view to developing similar tools for the Article 6.4 mechanism by the end of 2023.
2. Decision 3/CMA.3, annex, paragraphs 24(a)(x) and 24(a)(xi), requests the Supervisory Body to establish the requirements and processes necessary to operate the Article 6.4 mechanism, relating to, inter alia, the application of robust, social and environmental safeguards and the development of tools and approaches for assessing and reporting information about how each activity is fostering sustainable development, while acknowledging that the consideration of sustainable development is a national prerogative.
3. At its fourth meeting, the Supervisory Body considered the concept note “Workplan for developing a sustainable development tool for the mechanism established by Article 6, paragraph 4, of the Paris Agreement” and requested the secretariat to develop a sustainable development tool for the Article 6.4 mechanism (A6.4 SD Tool), taking into account the following:
 - (a) Make the use of the A6.4 SD Tool mandatory, and include provisions on the use of the tool in the activity standards, validation and verification standards and/or cycle procedures, as appropriate;
 - (b) Design the A6.4 SD Tool to allow users to take into account specific sustainable development objectives of each host Party, which are national prerogatives;
 - (c) Reflect both the positive and negative sustainable development impacts of activities using quantitative and/or qualitative indicators;
 - (d) Conduct further review of other bilateral and multilateral market-based mechanisms that currently use sustainable development tools; and
 - (e) Connect to the Sustainable Development Goals (SDGs) by considering their time frame.
4. The Supervisory Body requested the secretariat to present the outcomes of the activities mentioned in paragraphs 2 and 3 above and to present a draft A6.4 SD tool at its seventh meeting for consideration. However, during the review of (i) other bilateral and multilateral market-based mechanisms that currently use sustainable development tools and (ii) surveys with related stakeholders, the secretariat came across two aspects for which further guidance from the Supervisory Body was required for the further development of the draft A6.4 SD tool: (i) whether the sustainable development indicators should be

developed either bottom-up or top-down; and (ii) whether environmental and social safeguard requirements should be implemented with or without a safeguard communication channel maintained by activity participants with local stakeholders during the entire crediting period of an activity.

5. At its seventh meeting, the Supervisory Body considered the concept note “Development of a sustainable development tool for Article 6.4 of the Paris Agreement” and the outline of a draft A6.4 SD Tool. The Supervisory Body requested the secretariat to prepare a draft A6.4 SD tool, taking into account the following:
 - (a) Provide options to assess the positive and negative impacts of activities on the SDGs, targets and/or indicators of the host Party and separate module/guiding questions for REDD+ projects/ Agriculture, Forestry and Other Land Use /Cancun Safeguards;
 - (b) Clarify the relationship between activity-level sustainable development indicators and environmental and social indicators;
 - (c) Revise steps for developing activity-level sustainable development indicators consistent with the SDGs, targets and/or host Party indicators;
 - (d) Consider monitoring descriptions/requirements for sustainable development indicators in the context of the rules, modalities and procedures for the Article 6.4 mechanism;
 - (e) Provide relevant safeguards necessary to avoid and/or minimize negative environmental and social impacts on activities involving emission reductions and/or removals, reflecting the latest decisions and discussions at the meetings of the Supervisory Body, with a view to fulfilling the mandate in paragraph 5(c) of decision 3/CMA.3;
 - (f) Provide a clear explanation on how the designated operational entity is meant to validate and verify sustainable development contributions and safeguards, which may require the development of relevant guidance on specific principles;
 - (g) Reflect balance between host Party priorities and safeguards principles.
6. During its eighth meeting, the Supervisory Body provided guidance on the draft A6.4 SD Tool and requested the secretariat to launch a call for public inputs and prepare a revised version of the draft, taking into account the comments received from the call for inputs,¹ and present it at the tenth meeting.
7. During its tenth meeting, the Supervisory Body considered the draft A6.4 SD Tool and requested the secretariat to revise the draft tool for its consideration and adoption at its eleventh meeting, taking into account the following:
 - (a) Include both positive and negative impacts against the 17 SDGs in the draft tool;
 - (b) Maintain Appendix 1 of the draft tool in the context of land use, land-use change and forestry activities;

¹ The submissions are available at: <https://unfccc.int/process-and-meetings/the-paris-agreement/article-64-mechanism/calls-for-input/callfor-input-2023-stakeholder-interactions-sustainable-development-tool>.

- (c) Reinforce proposed safeguards criteria and guiding questions in the draft tool to be applied for carbon dioxide removal activities, including through continued monitoring and analysis of relevant external safeguard systems and frameworks. The Supervisory Body will request the secretariat to develop new specific annex(es) for the draft A6.4 SD Tool to include safeguards criteria and guiding questions specific to respective carbon dioxide removal activities at an appropriate stage in its development of regulations for activities involving removals;
 - (d) Analyse and consider the stakeholder comments received in the revised draft A6.4 SD Tool during the call for inputs to the annotated agenda of the tenth meeting.
- 8. At its eleventh meeting, the Supervisory Body considered the draft A6.4 SD Tool and agreed that the safeguards criteria and guiding questions for specific type of activities would be considered at a later stage. Further, it requested the secretariat to:
 - (a) Work further on the draft tool without the Appendix 1 in consultation with the informal working group, comprising its members and alternate members, between the eleventh meeting and the thirteenth meeting, with the aim of adopting the draft tool at its thirteenth meeting;
 - (b) Launch a focused call for inputs on the draft A6.4 SD Tool without Appendix 1 particularly from the CDM designated operational entities and the validation and verification bodies and prepare an information note summarizing how the comments received are considered in the revised draft SD Tool.
- 9. At its thirteenth meeting, the Supervisory Body considered the draft A6.4 SD Tool and requested the secretariat to further work on the draft tool in consultation with an informal working group between the thirteenth meeting and the fourteenth meeting with the aim of adopting the draft tool on the first day of that meeting.

2. Purpose

- 10. This document presents the revised draft A6.4 SD Tool based on guidance from the informal working group of the Supervisory Body.

3. Impacts

- 11. The A6.4 SD Tool will form the regulatory basis for the operationalization of the Article 6.4 mechanism. The adoption of A6.4 SD Tool will necessitate updates to the relevant Article 6.4 standards and procedures. These updates will ensure alignment with the new A6.4 SD Tool requirements for reporting, validation and verification.

4. Subsequent work and timelines

- 12. As per its 2024 workplan, the Supervisory Body plans to finalize the A6.4 SD Tool at this fourteenth meeting.
- 13. Based upon its approval of the A6.4 SD Tool, the Supervisory Body may request the secretariat to:

- (a) Prepare three forms (A6.4-FORM-AC-015, A6.4-FORM-AC-016, and A6.4-FORM-AC-017) referred to in the draft A6.4 SD Tool;
- (b) Prepare the safeguards criteria and guiding questions for specific types of activities once the Supervisory Body finalizes the recommendation on activities involving removals under the Article 6.4 mechanism and requirements for Article 6.4 methodologies.

5. Recommendations to the Body

14. Based on the feedback provided by the Supervisory Body, at its thirteenth meeting, and the outcome of the meetings of the informal working group on draft A 6.4 SD Tool between the thirteenth meeting and the fourteenth meeting, the secretariat has further revised the A6.4 SD Tool and recommends that the Supervisory Body:
- (a) Adopt the draft A6.4 SD Tool;
 - (b) Request the secretariat to prepare the three forms referred to in the draft A6.4 SD Tool;
 - (c) Request the secretariat to prepare a revision of Article 6.4 mechanism activity standards for activities and programmes of activities, Article 6.4 mechanism activity cycle procedures for activities and programmes of activities, and Article 6.4 mechanism validation and verification standards for activities and programmes of activities to reflect the requirements of the draft A6.4 SD Tool;
 - (d) Agree that the application of the A6.4 SD Tool will become mandatory for the transition of CDM activities to the Article 6.4 mechanism only when the three forms referred to in the draft A6.4 SD Tool are available.

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1. Introduction

1.1. Background

1. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its third session, adopted the rules, modalities and procedures (RMPs) for the mechanism established by Article 6, paragraph 4, of the Paris Agreement (Article 6.4 mechanism)¹ In the RMPs, the CMA further requested the Supervisory Body to establish the requirements and processes necessary to operate the mechanism, including those relating to the application of robust, social and environmental safeguards to Article 6.4 activities and/or A6.4 programmes of activities (PoAs) and to develop tools and approaches for assessing and reporting information about how each activity is fostering sustainable development, while acknowledging that the consideration of sustainable development is a national prerogative.
2. The RMPs also recalled the eleventh preambular paragraph of the Paris Agreement, *“Acknowledging that climate change is a common concern of humankind, Parties should, when taking action to address climate change, respect, promote and consider their respective obligations on human rights, the right to health, the rights of Indigenous Peoples, local communities, migrants, children, persons with disabilities and people in vulnerable situations and the right to development, as well as gender equality, empowerment of women and intergenerational equity”*.²
3. The adoption of the Article 6.4 sustainable development tool (hereinafter referred to as the A6.4 SD Tool) will necessitate updates to the relevant Article 6.4 standards and procedures. These updates will ensure alignment with the new A6.4 SD Tool requirements for reporting, validation and verification.
4. The Supervisory Body of the Article 6.4 mechanism, at its **XX** meeting (SBM **XXX**), approved the A6.4 SD Tool.

1.2. Objective

5. The objective of the A6.4 SD Tool is to ensure that Article 6.4 projects and/or Article 6.4 PoAs, collectively referred to as A6.4 activities, uphold the principle of “do no harm”, foster sustainable development (SD), and contribute to the 17 Sustainable Development Goals (SDGs).³

¹ Decision 3/CMA.3, annex, as contained in document FCCC/PA/CMA/2021/10/Add.1. Available at https://unfccc.int/sites/default/files/resource/cma2021_10a01E.pdf#page_29.

² Paris Agreement. United Nations 2015. (English). Available at https://unfccc.int/sites/default/files/english_paris_agreement.pdf

³ Sustainable Development Goals. Available at: <https://www.un.org/sustainabledevelopment/sustainable-development-goals/>.

2. Scope, applicability, and entry into force

2.1. Scope

6. The A6.4 SD Tool applies to all A6.4 activities⁴ including all clean development mechanism (CDM) activities seeking eligibility for transition to the Article 6.4 mechanism. Its scope encompasses the decisions of the CMA, which outline the formal expectations for the Article 6.4 mechanism, as well as the rules and requirements developed by the Supervisory Body for operationalizing the mechanism.⁵ Specifically, the tool provides a means for activity participants to demonstrate that they have met the mandatory requirements for identifying and addressing social and environmental risks, as well as for assessing and enhancing the contributions of A6.4 activities to SD in line with SD objectives and priorities of the host Party and the SDGs.
7. To achieve its objective, the tool provides a structured approach for activity participants to:
 - (a) **Conduct a risk assessment** to identify risks and potential impacts, evaluate them, and avoid harm where possible. When avoidance is not feasible, the A6.4 SD Tool instructs participants to minimize impacts as much as possible and, finally, to mitigate any remaining negative environmental and social impacts and risks by establishing activity-level environmental and social indicators;
 - (b) **Identify and assess potential positive and negative impacts** on the 17 Sustainable Development Goals (SDGs) and host Party SD priorities and establish activity-level SD monitoring indicators;
 - (c) **Monitor and report** the outcomes of the monitoring against the established activity-level environmental and social indicators and activity-level SD indicators.

2.2. Applicability

8. The use of the A6.4 SD Tool is mandatory for all proposed A6.4 activities, including all CDM activities seeking eligibility for transition to the Article 6.4 mechanism.

2.3. Entry into force

9. Version 01.0 of the A.6.4 SD Tool enters into force on [DD Month YYYY]. This document shall be reviewed every 18 months.

⁴ [In addition to this general tool, additional safeguards criteria and guiding questions to be applied for carbon dioxide removal activities and for land use, land-use change and forestry activities will be developed by the Supervisory Body as new annexes to include in this SD Tool at an appropriate stage in its development of regulations for activities involving removals.](#)

⁵ See Decision and documentation framework (A6.4-SB004-A04) available at: <https://unfccc.int/sites/default/files/resource/a64-sb004-a04.pdf>.

3. Article 6.4 Sustainable Development Tool implementation

3.1. Overview of the A6.4 SD Tool

10. The A6.4 SD Tool requires activity participants to identify, evaluate, avoid, minimize, and mitigate potential risks associated with proposed A6.4 activities.
11. Activity participants of A6.4 activities shall adopt mitigation strategies to avoid risks or, where complete avoidance is not possible and activity implementation is nonetheless permitted, minimize and mitigate identified risks.
12. Where complete avoidance of risk is not possible, activity participants of A6.4 activities shall provide evidence, including monitoring of activity-level environmental and social indicators, that the A6.4 activities comply with the environmental and social safeguarding elements and criteria as defined in section 6 of this tool, including those relevant to the eleventh preambular paragraph of the Paris Agreement,⁶ as well as relevant and applicable national and international instruments to which the host Party is bound and applicable legislation in the host Party (see figures 1 and 2). Such international instruments may include, for example, the UN Guiding Principles on Business and Human Rights, the International Labour Organization fundamental conventions, and recognized international best practices.
13. Activity participants are also required to:
 - (a) Identify and assess the potential positive and negative impacts of their A6.4 activities on the SD of the host Party(ies), by considering the host Party(ies)' SD objectives and priorities, as well as the SDGs;
 - (b) Establish activity-level SD indicators; and
 - (c) Monitor and report the outcome against the established indicators (see figures 1 and 3 and section 7.1).

3.2. Navigating the A6.4 SD Tool

14. The A6.4 SD Tool is divided into three key sections covering important processes, as follows:
 - (a) **Section 6 Environmental and social safeguards:**⁷ This section focuses on elements and criteria that serve as the basis for activity participants to identify, evaluate, avoid, minimize, and mitigate potential negative environmental and social impacts and risks that may arise during the implementation and operation of the A6.4 activity, or CDM activity transitioning the Article 6.4 mechanism. Activity participants are required to conduct a risk assessment based on safeguards' elements and criteria as defined under Section 6, which leads to the development of A6.4 Environmental and social management action plans. These plans include activity-level environmental and social indicators for tracking actions and acceptance criteria to demonstrate that the impacts and risks do not

⁶ See footnote 2.

⁷ Environmental and social safeguards commonly observed in other UN agencies, international financial institutions and voluntary carbon market systems.

cause harm to the environment or society. The outcomes of the risk assessment and the plans shall be documented in:

- (i) **A6.4-FORM-AC-015: A6.4 Environmental and social safeguards risk assessment form.** This form records the identification, evaluation, and avoidance of environmental and/or social risks that may be caused by a proposed A6.4 activity;
 - (ii) **A6.4-FORM-AC-016: A6.4 Environmental and social management plan form.** This form details the set of minimization and mitigation measures and monitoring to be implemented. It ~~must~~ shall be completed if the conclusion of the A6.4-FORM-AC-015 is “Yes” or “Potentially” (see figure 1 and figure 2).
- (b) **Section 7. Sustainable development impacts:** This section focuses on identifying the positive and negative SD impacts of the A6.4 activity, or a CDM activity transitioning to the Article 6.4 mechanism. It outlines the processes for the assessment of the SDGs impacted, the consideration of the host countries’ SD objectives and priorities, and the establishment of activity-level SD monitoring indicators based on the SDGs and their targets. All activity participants shall document the evaluation of SD impacts and the measuring, monitoring and reporting methodology in the **A6.4-FORM-AC-017: A6.4 Sustainable development impact form** (see figure 1 and figure 3);
- (c) **Sections 8 and 9. Validation and Verification:** These sections outline additional requirements to the Article 6.4 mechanism validation and verification standards for projects and programmes of activities (VVS-P - VVS-PoA)⁸ that shall be considered by the designated operational entities (DOEs) during the validation and verification stages.

3.3. Stakeholder engagement and the A6.4 SD Tool

15. Stakeholders may submit issues and comments related to compliance with the A6.4 SD Tool during the local stakeholder consultation and the global stakeholder consultation prior to the registration of the A6.4 activity.⁹
16. During the local stakeholder consultation, the three completed A6.4 SD Tool forms (see sub-paragraphs 14(a) through (b)) shall be shared with stakeholders by the activity participants.¹⁰ Further, during the global stakeholder consultation, Parties, stakeholders and UNFCCC-admitted observer organizations may submit comments on the three completed A6.4 SD Tool forms. Any inputs received or issues raised by stakeholders during these consultations shall be considered by activity participants for revising or updating A6.4-FORM-AC-015, A6.4-FORM-AC-016 and A6.4-FORM-AC-017. The stakeholder inputs received and the revised forms shall then be submitted to a DOE for validation.¹¹
17. After the registration of the A6.4 activity under the Article 6.4 mechanism, activity participants shall establish and maintain a continuous engagement mechanism for

⁸ See Section 4: Normative references.

⁹ In accordance with sections 6.9 and 6.10 of Article 6.4 activity standard.

¹⁰ In accordance with host Party rules and/or section 6.9 and Appendix 2 of Article 6.4 mechanism activity standards.

¹¹ In accordance with section 4.6.1 of Article 6.4 mechanism activity cycle procedures.

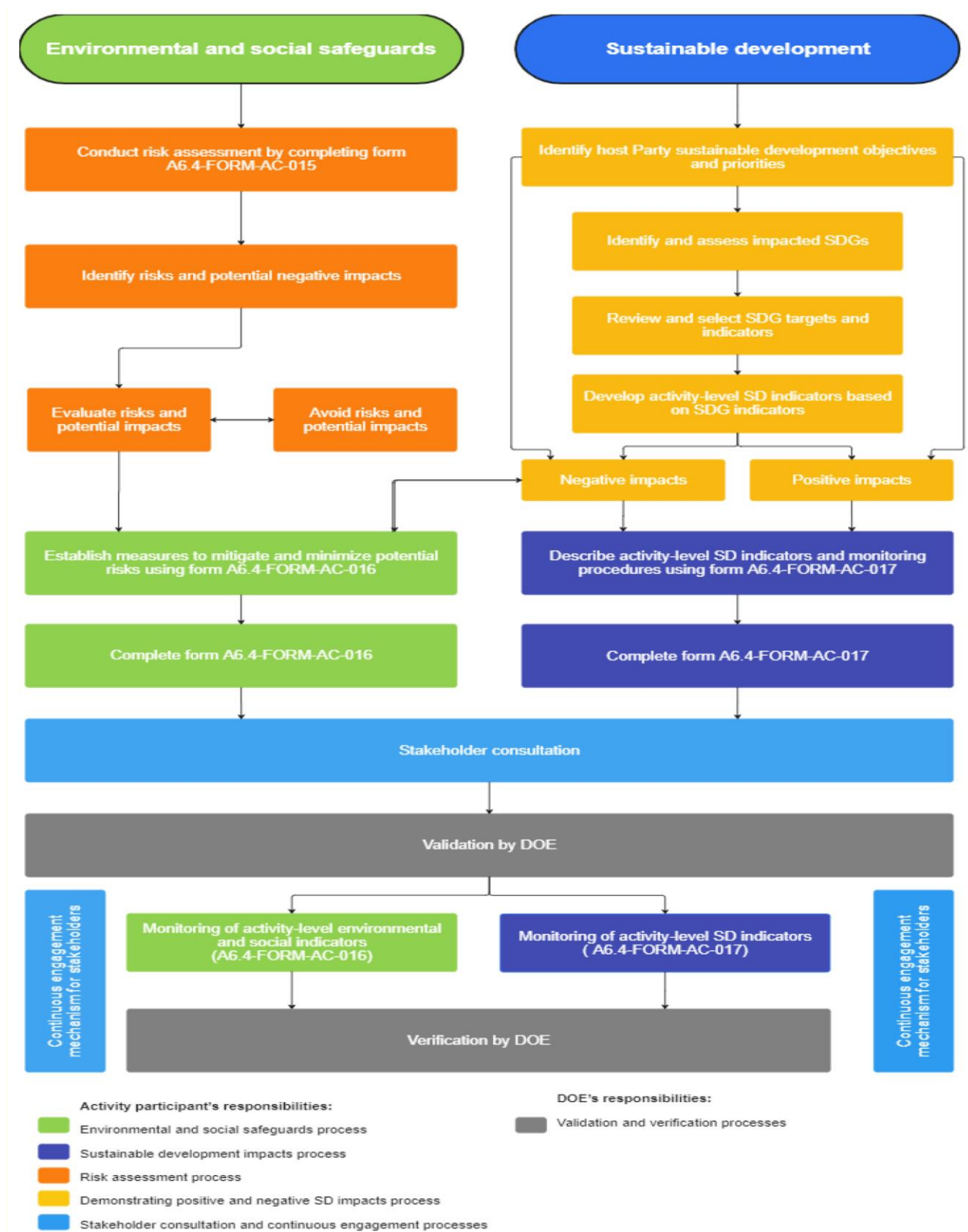
stakeholders to comment on compliance with the A6.4 SD Tool until the end of the valid crediting period of the project.¹² Activity participants, DOEs and the secretariat will make their documents publicly available through their respective activity view pages hosted on the UNFCCC website.¹³

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¹² As defined in section 7.1 of Article 6.4 activity standard, and appeal and grievance processes under the Article 6.4 mechanism.

¹³ In accordance with section 6 to section 8 of Article 6.4 activity cycle procedure.

Figure 1. A6.4 SD Tool flow chart



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Figure 2. Environmental and social safeguards flow chart

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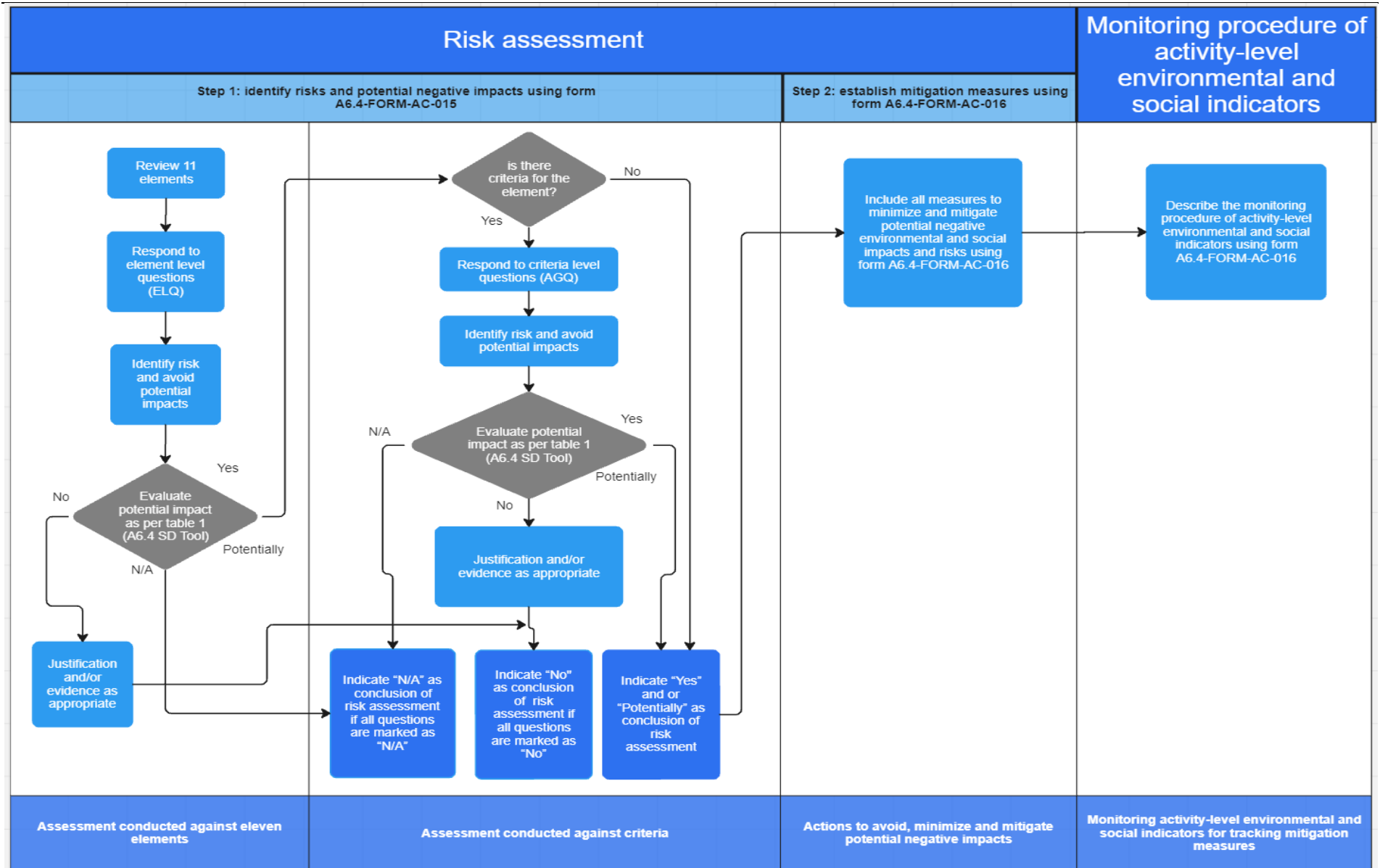
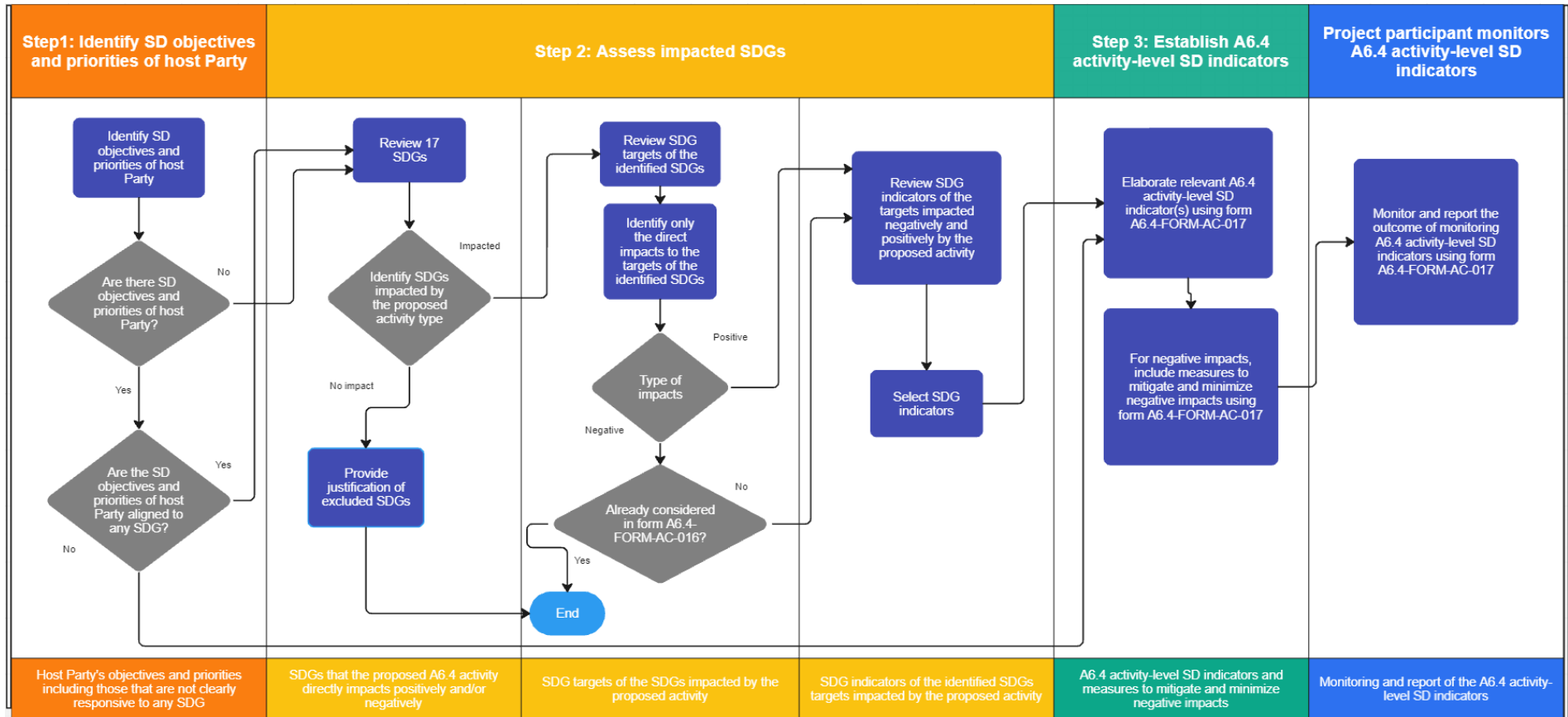


Figure 3. Sustainable development impacts flow chart



4. Normative references¹⁵

18. The implementation of the A6.4 SD Tool is closely linked to adherence to the normative references, ensuring alignment with the requirements for validating, registering, reporting, and verifying A6.4 activities thereby ensuring compliance with the regulatory standards and procedures of the Article 6.4 mechanism, as included in this section (18(b) through (h)). The following documents are indispensable for the application of this tool:
- (a) Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development (17 SDGs);¹⁶
 - (b) Article 6.4 mechanism activity standard for activities (AS-P);
 - (c) Article 6.4 mechanism activity standard for programmes of activities (AS-PoA);
 - (d) Article 6.4 mechanism validation and verification standard for activities (VVS-P);
 - (e) Article 6.4 mechanism validation and verification standard for programmes of activities (VVS-PoA);
 - (f) Article 6.4 mechanism activity cycle procedure for activities (ACP-P);
 - (g) Article 6.4 mechanism activity cycle procedure for programmes of activities (ACP-PoA);
 - (h) Appeal and grievance processes under the Article 6.4 mechanism.

5. Definitions

19. The following terms apply in this tool:
- (a) Activity-level environmental and social indicators:¹⁷ A6.4 activity specific indicators identified during the risk assessment that must be defined in the completed A6.4-FORM-AC-016. These indicators help ensure that the A6.4 activities do not cause harm — for example, to the environment, communities, Indigenous Peoples, or activity workers;
 - (b) Activity-level SD indicators:¹⁸ A6.4 activity-specific monitoring indicators, consistent with the SDGs that represent A.6.4 activity contributions to SD. They

¹⁵ The rules and regulations for the Article 6.4 mechanism mentioned in the normative references are accessible at: <https://unfccc.int/process-and-meetings/bodies/constituted-bodies/article-64-supervisory-body/rules-and-regulations>.

¹⁶ Resolution adopted by the General Assembly on 6 July 2017 (A/RES/71/313), Annex, pages 4-25. Available at: <https://documents.un.org/doc/undoc/gen/n17/207/63/pdf/n1720763.pdf?token=ePhp1N9ss9of3drG4o&f e=true>.

¹⁷ Examples of activity-level environmental and social indicators for an activity that requires water consumption may include the activity-level indicator for the volume of water consumed per month/day/time period in order to ensure that water consumption does not exceed the limit indicated in the water use licence issued by the host Party's authority.

¹⁸ Examples of activity-level SD indicators for a cookstove distribution activity may include:

reflect SD objectives as well as SD priorities defined by a host Party, which must be specified in the A6.4-FORM-AC-017;

- (c) Host Party legislation: Regulatory requirements such as national and/or subnational laws and regulations applicable to the proposed A.6.4 activity;
- (d) Stakeholders: The public, including individuals, groups or communities, marginalized and disadvantaged groups, women, children, older persons, persons with disabilities, minorities, Indigenous Peoples,¹⁹ or any other person who may be affected or is likely to be affected by the proposed A 6.4 activity, or by the actions leading to the implementation of such the activity;
- (e) Sustainable Development Goals (SDGs): A set of 17 interlinked global goals designed to be a blueprint to achieve a better and more sustainable future for all. They were established by the United Nations in 2015 as part of the 2030 Agenda for SD. The 17 SDGs build upon the successes of the Millennium Development Goals while incorporating new areas such as climate change, economic inequality, innovation, sustainable consumption, and peace and justice, among other priorities;
- (f) SD objectives and priorities of a host Party: The specific goals, targets, indicators, and priorities that a country sets to achieve SD within its borders. These objectives are aligned with the broader principles of sustainability, which aim to balance economic growth, social inclusion, and environmental protection. They are typically articulated in national development plans, policies, and strategies and are designed to address the unique challenges and opportunities within the country.

6. Environmental and social safeguards

20. ~~The implementation and operation of the A6.4 activity may cause negative social and environmental impacts.~~ Based on the requirements specified in the regulations listed under Section 4: Normative references, sub-paragraphs (b) through (g), regarding compliance with legal and regulatory requirements of the host Party, activity participants shall document in the project design document²⁰ that their proposed A6.4 activity does not cause any environmental or social harm.

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- (a) The number of improved cookstoves distributed under the activity, serving as an indicator for providing basic service access to households under SDG 1, target 1.4;
 - (b) The percentage of users reporting a reduction in smoke/particulate matter after shifting to improved cookstoves within the activity, addressing SDG 3, target 3.9;
 - (c) The percentage of users reporting time savings due to reduced fuel consumption or cooking time within the activity, related to SDG 5 and its target 5.4; and/or
 - (d) The average percentage of fuel savings reported by users within the activity, pertaining to SDG 12 and its target 12.2.

¹⁹ Indigenous Peoples as described in Indigenous Peoples at the United Nations. Available at: <https://social.desa.un.org/issues/indigenous-peoples/indigenous-peoples-at-the-united-nations#:~:text=%E2%80%9CIndigenous%20communities%2C%20peoples%20and%20nations%20are%20those%20which%2C%20having,territories%2C%20or%20parts%20of%20them.>

²⁰ In accordance with section 6.7 of the Article 6.4 activity standard.

6.1. Environmental and social risk assessment:

21. Activity participants shall ensure the minimization and mitigation of potential risks that may arise from a proposed A6.4 activity and provide documentary evidence that the A6.4 activity complies with the environmental and social safeguarding elements and criteria as defined in section 6 of this tool, including those relevant to the eleventh preambular paragraph of the Paris Agreement, as well as relevant and applicable national and international instruments to which the host Party is bound.
22. The identification, evaluation, avoidance, minimization, and mitigation of potential risks should be achieved by completing A6.4-FORM-AC-015 and A6.4-FORM-AC-016. The latter form specifically addresses the environmental and/or social risks identified in A6.4-FORM-AC-015 by establishing activity-level environmental and social indicators (see figure 1).
23. **Step 1: Identify risks and potential negative impacts**
 - (a) Activity participants shall conduct a risk assessment by completing the A6.4-FORM-AC-015 to identify potential negative environmental and social impacts arising from the implementation, operation and, if applicable, dismantling of the A6.4 activity (see figures 1 and 2);
 - (b) The assessment shall be conducted against 11 elements and criteria, as described in section 6.3: Environmental and social safeguards elements and criteria (see figure 2). These elements are based on principles from other UN agencies, international financial institutions and voluntary and independent carbon market systems,^{21,22,23,24,25,26,27,28}

²¹ Gold Standard (2023) Safeguard Principles & Requirements. Available at: https://globalgoals.goldstandard.org/standards/103_V2.0_TC_PAR_Safeguarding-Principles-Requirements.pdf

²² Green Climate Fund (2023). Environmental and social safeguards. Available at: <https://www.greenclimate.fund/activity/sustainability-inclusion/ess>

²³ United Nation Environment Programme (2020). UNEP environmental, social and sustainability framework. Available at: <https://www.unep.org/resources/report/un-environments-environmental-social-and-economic-sustainability-framework>

²⁴ World Bank (2016). Environmental and Social Framework (ESF). Available at: <https://www.worldbank.org/en/activity-operations/environmental-and-social-policies>

²⁵ Food and Agriculture Organization (2022). Framework for Environmental and Social Management. Available at: <https://www.fao.org/3/cb9870en/cb9870en.pdf>

²⁶ Global Carbon Council (2022). Environment and Social Safeguards Standard. Available at: https://www.globalcarboncouncil.com/wp-content/uploads/2022/09/Environment-and-Social-Safeguards-Standard.V3.0-1_.pdf

²⁷ Inter-American Development Bank (2020). Environmental and Social Policy Framework. Available at: <https://blogs.iadb.org/sostenibilidad/en/espf-environmental-and-social-policy-framework-in-a-nutshell/>

²⁸ World Wide Fund for Nature (n.d.). Environmental and Social Safeguards (ESS). Available at: <http://assets.worldwildlife.org/publications/844/files/original/SafeguardsonepagerFINAL.pdf>

- (c) Activity participants shall answer the element-level guiding question(s) provided in Appendix 1, tables 1 through 13, for each of the 11 elements;
- (d) If activity participants identify that their A6.4 activity impacts the environmental and social safeguards elements (by indicating “Yes” or “Potentially” as per table 1 below), they shall conduct further assessment against the safeguarding criteria under the element impacted by their A6.4 activity. This additional assessment should describe the nature and extent of the risk, summarize any relevant regulations, their applicability to the A6.4 activity, their relevance to the given element. This additional assessment should also describe the extent to which the risk is mitigated through compliance with environmental and social safeguarding elements and criteria as defined in section 6 of this tool, including those relevant to the eleventh preambular paragraph of the Paris Agreement, as well as relevant and applicable national and international instruments to which the host Party is bound. The assessment should be done using the A6.4-FORM-AC-015 and any additional guidance developed by the Supervisory Body, including requirements for the activity participants and DOEs to:
 - (i) Identify potential negative environmental and social impacts/risks by comparing the activity scenario to environmental and social conditions in the absence of the proposed activity and based on each of the safeguard elements and criteria defined in section 6.2 below;
 - (ii) Evaluate the likelihood of risk occurrence or indicate its non-applicability based on possible responses classified in table 1 below;

Table 1. Possible responses in the risk assessment for element-level questions and additional guiding questions

Response	Description	Action required by activity participants
Yes	Factors contributing to potential negative impacts are present for certain elements/criteria, or the activity fails to meet environmental and social safeguarding elements and criteria as defined in section 6 of this tool, including those relevant to the eleventh preambular paragraph of the Paris Agreement, and relevant and applicable national and international instruments to which the host Party is bound during its implementation, operation and, if applicable, dismantling.	Identify all factors contributing to potential negative impacts in A6.4-FORM-AC-015. Mitigate and monitor these factors through measures described by the activity participant in A6.4-FORM-AC-016.

Response	Description	Action required by activity participants
Potentially	The risk or expected impact may be relevant during the A6.4 activity implementation, operation and, if applicable, decommissioning or dismantling, but is not currently relevant or may never arise.	Justify why the element/criterion is currently satisfied and does not require remedial measures. Update information on any potential identified risks in each monitoring report.
No	The risk or expected issue is not relevant to the A6.4 activity.	Provide justification supporting this conclusion. Conduct an assessment of any identified risks and submit an updated A6.4-FORM-AC-015 with a request for approval of post-registration change.
NA	The question is not relevant to the A6.4 activity.	Justify the exclusion of any elements or criteria.

- (e) The respective additional guiding questions are defined under each of the eleven elements except “Element 10: Corruption” since there is no criteria defined under the section 6.4.7 for this specific Element. If the answer for the element-level question is either “Yes” or “Potentially”, activity participants are required to proceed to the respective additional guiding questions.

24. **Step 2: Establish mitigation measures** (see figure 1)

- (a) Activity participants shall, based on the outcome of the risk assessment, develop the A6.4 Environmental and social management plan to avoid, and where complete avoidance of risk is not possible, minimize and mitigate identified potential negative impacts and risks.
- (b) The plan shall include proposed measures and actions to be taken by the activity participants to mitigate identified/potential negative impacts including defining and providing:
- (i) Actions to avoid, minimize, and mitigate potential negative environmental and social impacts and risks assessed as “Yes” or “Potentially” as per table 1 in the risk assessment process;
 - (ii) Activity-level environmental and social indicators:²⁹ These include monitoring parameters for tracking actions and acceptance criteria that can be tracked over activity crediting periods, along with estimates of the resources and responsibilities for implementation. These indicators shall demonstrate that

²⁹ A6.4 activity specific indicators identified during the risk assessment ~~that shall~~ must be defined in the completed A6.4-FORM-AC-016. These indicators help ensure that the A6.4 activities do not cause harm - for example, to the environment, communities, Indigenous Peoples, or activity workers

the impacts and risks do not cause harm to the environment or society and may be quantitative and/or qualitative in nature.³⁰

6.2. Monitoring procedure of activity-level environmental and social indicators

25. Activity participants shall describe, in A6.4-FORM-AC-016, the monitoring procedures for activity-level environmental and social indicators relevant to mitigation strategies and measures to avoid or minimize identified risks, including:
- (a) A description of the activity-level environmental and social indicators;
 - (b) Data unit and source of data;
 - (c) Information on monitoring or measurement procedures and methods;
 - (d) Monitoring frequency (at least annual).
26. Based on the requirements specified in the regulations listed under Section 4: Normative references, sub-paragraphs (b) through (g), once activity participants complete A6.4-FORM-AC-015 and A6.4-FORM-AC-016 — reflecting inputs received or issues raised by stakeholders during the local and the global stakeholder consultations — the outcome (including the completed forms) must be shared with the DOE performing validation.
27. Once a proposed activity is registered, activity participants are required to monitor and report the outcome of monitoring A6.4 activity-level environmental and social indicators, as outlined in A6.4-FORM-AC-016, in the monitoring report. A DOE is required to verify the monitoring of the indicators during each request for issuance of Article 6.4, paragraph 4, emission reduction (A6.4 ERs).

6.3. Environmental and social safeguards elements and criteria

28. The environmental and social safeguards elements are presented in table 2. Each element's definition and its relevant criteria are included in this section. The criteria in this section apply to the relevant A6.4 activity for which the activity participant is undertaking the environmental and social risk assessment referred to section 6.1.

Table 2. Environmental and social safeguards elements

Safeguards elements		
Environmental	Element 1	Energy
	Element 2	Air, land and water
	Element 3	Ecology and natural resources
Social	Element 4	Human rights
	Element 5	Labour
	Element 6	Health and safety
	Element 7	Gender equality

³⁰ Examples of activity-level environmental and social indicators for an activity that requires water consumption may include the activity-level indicator of the volume of water consumed per month/day/time period in order to ensure that water consumption does not exceed the limit indicated in the water use licence issued by the host Party's authority.

Safeguards elements		
	Element 8	Land acquisition and involuntary resettlement
	Element 9	Indigenous Peoples
	Element 10	Corruption
	Element 11	Cultural heritage

6.3.1. Element 1 Energy

E1 description:

29. The A 6.4 activity ensures sustainable use of energy.

E1 criteria:

30. E1.1: The A6.4 activity does not negatively affect the availability or reliability of the energy supply for other users.³¹

6.3.2. Element 2: Air, land and water

E2 description:

31. The A6.4 activity avoids releasing pollutants into the air, land, or water, including hazardous and/or non-hazardous pollutants in solid, liquid, or gaseous phases.

E2 criteria: E2.1 Air

32. E2.1.1: The A6.4 activity is to avoid the release of pollutants into the air. When complete avoidance is not technically and financially feasible, activity participants of the A6.4 activity are to minimize and/or control the intensity and mass flow resulting from the A6.4 activity. This provision applies to releases of pollutants due to routine, non-routine, and accidental circumstances, with potential for local regional and transboundary impacts.

33. E2.1.2: Where historical existing level of pollution³² exceed what is legally permitted in respect of the site where the proposed activity will take place and the host country identified is present, activity participants are as responsible to determine their legal responsibility for mitigation or remediation measures and, activity participants are expected to if found responsible, respond accordingly. Activity participants of the A6.4 activity may use information sources such as historical records, ongoing monitoring, and reporting through data logging of physical measurements and online sources, including government data, to identify and evidence the nature of such liabilities.

E2.2 Land

34. E2.2.1: The A6.4 activity is to avoid the release of pollutants to land.³³ When complete avoidance is not technically and financially feasible, activity participants of the A6.4 activity are to minimize and/or control the intensity and mass flow of releases resulting from the

³¹ For example, this includes curtailment and/or diversion of renewable energy supply away from users and into mitigation activities.

³² Historical pollution refers to any historical level of effect into air, soil and water not consistent with, or exceeding, what is legally permitted in respect of the site where the proposed activity will take place.

³³ Land includes land, soil, subsoil and surfaces.

A6.4 activity. This provision applies to releases of pollutants due to routine, non-routine and accidental circumstances with the potential for local, regional, and transboundary impacts.

35. ~~E2.2.2: Where historical pollution is present, activity participants of the A6.4 activity are to determine their legal responsibility for mitigation or remediation measures and, if found responsible, respond accordingly. Activity participants may use information sources such as historical records, ongoing monitoring, and reporting through data logging of physical measurements and online sources, including government data, to identify and evidence the nature of such liabilities. Where existing levels of pollution exceed what is legally permitted in respect of the site where the proposed activity will take place and the host country identified activity participants as responsible for mitigation or remediation measures, activity participants are expected to respond accordingly.~~
36. E2.2.3: Activity participants of the A6.4 activity are to demonstrate that measures will be undertaken to ensure the protection of soil, land use, surface and groundwater from erosion, and that these measures are in place prior to the commencement of the activity.
37. E2.2.4: Activity participants of the A6.4 activity are to identify the functions and services provided by the landscape and demonstrate that no degradation of soil resources or loss of ecosystem services provided by soils as a result of the activity.
38. E2.2.5: For A6.4 activities involving the production, harvesting and/or management of living natural resources by local communities, appropriate and culturally sensitive sustainable resource management practices are to be adopted by activity participants of the A6.4 activity.³⁴

E2.3: Water

39. E2.3.1: Activity participants of the A6.4 activity are to avoid negative impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes.
40. E2.3.2: The A6.4 activity is to avoid the release of pollutants to water. When complete avoidance is not technically and financially feasible, activity participants of the A6.4 activity are to minimize and/or control the intensity and mass flow of its releases. This provision applies to the release of pollutants due to routine, non-routine and accidental circumstances with the potential for local, regional and transboundary impacts.³⁵
41. ~~E2.3.3: Where existing levels of pollution exceed what is legally permitted in respect of the site where the proposed activity will take place and the host country identified activity participants as responsible for mitigation or remediation measures, activity participants are expected to respond accordingly.~~

³⁴ Culturally sensitive sustainable resource management practices based on meaningful consultation and participation of rights holders who ~~may~~will be impacted by the activity.

³⁵ ~~Transboundary pollutants include those covered under the Convention on Long-Range Transboundary Air Pollution. Available at: https://treaties.un.org/doc/Treaties/1979/11/19791113%2004-16%20PM/Ch_XXVII-01p.pdf~~

~~40.42.~~ E2.3.~~43.~~ When the A6.4 activity is a potentially significant consumer of water, activity participants of the A6.4 activity are to adopt measures³⁶ to improve water consumption efficiency. These measures should aim to avoid or reduce water consumption so that the activity's water consumption does not have negative impacts on people and biodiversity in terms of availability, accessibility, reliability, and quality compared to environmental and social conditions in the absence of the activity.

6.3.3. Element 3: Ecology and natural resources

E3 description:

~~41.43.~~ The A6.4 activity avoids adverse direct, indirect and cumulative³⁷ impacts on habitats and the biodiversity they support.

E3 criteria:

E3.1 Natural resources

~~42.44.~~ E3.1.1: Activity participants of the A6.4 activity are to adopt a precautionary approach³⁸ to natural resource conservation, including soil, minerals, and other depletable natural resources, and avoid negative environmental impacts throughout the activity implementation, operation, and, if applicable, dismantling.

E3.2 Biodiversity

~~43.45.~~ E3.2.1: Activity participants of the A6.4 activity are to ensure that ecosystem functions are maintained to secure the benefits of ecosystem services.

~~44.46.~~ E3.2.2: Activity participants of the A6.4 activity are to protect and conserve terrestrial, freshwater, coastal and marine biodiversity.

~~45.47.~~ E3.2.3: The A6.4 activities maintains or enhances biodiversity and ecosystem functionality within the activity boundary.

~~46.48.~~ E3.2.4: The A6.4 activities do not lead to the reduction of, or negative impact on, any population of recognized endangered, vulnerable, or critically endangered species, protected areas and sites.³⁹

~~47.49.~~ E3.2.5: Activity participants of the A6.4 activity are to identify and manage the habitats of endangered species to protect or enhance them.

³⁶ These measures may include, but are not limited to, the use of additional, technically and economically feasible water conservation measures, the use of alternative water supplies, water reuse, or evaluation of alternative activity locations and relocation, ~~as appropriate~~.

³⁷ Cumulative impacts are those resulting from incremental changes caused by other past, present, or reasonably foreseeable actions, in conjunction with the A6.4 activity itself.

³⁸ The objective of the precautionary approach is prevention rather than remediation. It addresses uncertainty by advocating for precautionary actions to prevent serious or irreversible environmental harm before scientific certainty about such harm is established.

³⁹ As per the International Union for Conservation of Nature (IUCN) Red List of Threatened Species. Available at: <https://www.iucnredlist.org/>

48-50. E3.2.6: The A6.4 activities do not introduce any alien species⁴⁰ into new environments. Activity participants of the A6.4 activity are to implement measures to avoid the potential for accidental or unintended introductions of alien species, including the transportation of substrates and vectors (such as soil, ballast, and plant materials) that may harbour alien species.

49-51. E3.2.7: Where alien species are already established in the country or region of the A6.4 activity, activity participants of the A6.4 activity are to exercise diligence and take preventive steps to ensure they do not spread into areas where they have not already been established.

E3.3 Critical habitats⁴¹

50-52. E3.3.1: Activity participants of the A6.4 activity are to ensure that the A6.4 activity that potentially impacts habitats identified as critical habitats is implemented only when it meets the following three prerequisites:

- (a) The risk of the activity negatively impacting the catchment in the project area and the risks impacting activity success should be assessed and addressed to ensure its ongoing, long-term viability and impact on surrounding High Conservation Value⁴² and ecological assets;
- (b) There are no measurable negative impacts on the criteria or biodiversity values for which the critical habitat was designated, nor on the ecological processes supporting those biodiversity values;
- (c) A robust, appropriately designed, and long-term habitats and biodiversity action plan is in place to achieve net gains in those biodiversity values for which the critical habitat was designated.

⁴⁰ A species occurring in an area outside of its historically known natural range as a result of intentional or accidental dispersal by human activities (also known as an exotic or introduced species). Available at: <https://www.cbd.int/invasive/terms.shtml>

⁴¹ Critical habitats are areas with high biodiversity importance, covering: (i) habitats of significant importance to critically endangered, endangered, vulnerable or near-threatened species, listed as such in the International Union for Conservation of Nature (IUCN) Red List of Threatened Species; (ii) habitats of significant importance to endemic and/or restricted-range species; (iii) habitats supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; (v) areas associated with key evolutionary processes; and/or (vi) legally protected areas or internationally recognized areas of high biodiversity value, which may include reserves that meet the criteria of the IUCN protected area management categories I through VI; World Heritage Sites; areas protected under the Ramsar Convention on Wetlands; core areas of world biosphere reserves; or areas in the United Nations List of National Parks and Protected Areas; sites listed in the World Database of Key Biodiversity Areas; or other sites meeting the criteria of the IUCN 2016 Global Standard for the Identification of Key Biodiversity Areas as defined in the ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources, paragraph 23. World Bank, environmental and social safeguards. Available at: <https://documents1.worldbank.org/curated/en/024371530217086973/ESF-Guidance-Note-6-Biodiversity-Conservation-English.pdf>.

⁴² High Conservation Value (HCV), as defined by the HCV Network, is a biological, ecological, social, or cultural value of outstanding significance or critical importance. Available at: <https://www.hcvnetwork.org/hcv-approach>

6.4. Social safeguards elements and criteria

6.4.1. Element 4: Human rights

E4 description:

~~51-53.~~ Human rights constitute an overarching, legally binding framework that informs and guides the A6.4 activity's implementation and consistency with all environmental and social safeguards. These rights, enshrined in national laws and international ~~instruments~~ treaties, such as the Universal Declaration of Human Rights,⁴³ establish fundamental standards to ensure dignity, equality and justice for all. Consequently, Article 6.4 supports the implementation of environmental and social safeguards in order to ensure that all within project activities that must align with and uphold are compliant with these human rights ~~obligations~~ principles. Additionally, Article 6.4 recognizes that human rights are central to SD, poverty alleviation, and ensuring fair distribution of development opportunities and benefits. Activity participants may not engage in any form of direct or indirect, formal or informal pressure or retaliation against individuals or groups who are exercising their rights in relation to an activity or proposed activity.

E4 criteria:

~~52-54.~~ E4.1: The A6.4 activities are to be implemented with respect for participation and inclusion and do not undermine the host Party's national measures for the realization of human rights, including those related to SD.

~~53-55.~~ E4.2: Activity participants of the A6.4 activity are to carry out human rights due diligence to identify, evaluate, prevent, and mitigate actual or potential adverse human rights impacts caused by the A6.4 activity. They are to ensure that the A6.4 activity contributes positively to the well-being and dignity of all stakeholders, ~~especially the most vulnerable, right-holders, and groups, especially those in vulnerable situations~~ and marginalized, including Indigenous Peoples, in line with, among others, the UN Guiding Principles on Business and Human Rights,⁴⁴ the United Nations Global Compact,⁴⁵ and the SDGs.

6.4.2. Element 5: Labour

E5 description:

~~54-56.~~ The A6.4 activity supports employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth, while activity participants of the A6.4 activity are to ensure safe and healthy working conditions.

E5 criteria:

~~55-57.~~ E5.1: Activity participants of the A6.4 activity are to ensure education programmes for local communities to access labour opportunities created by the A6.4 activity.

~~56-58.~~ E5.2: Activity participants of the A6.4 activity are to ensure the fair treatment, non-discrimination, and equal opportunity of activity workers.

⁴³ Available at: <https://www.un.org/en/about-us/universal-declaration-of-human-rights>.

⁴⁴ Available at: https://www.ohchr.org/sites/default/files/documents/publications/guidingprinciplesbusinesshr_en.pdf

⁴⁵ Available at: <https://unglobalcompact.org/what-is-gc/mission/principles>

~~57-59.~~ E5.3: Activity participants of the A6.4 activity are to protect A6.4 activity workers, including vulnerable workers such as women, persons with disabilities, migrant workers, contracted workers, community workers, and primary supply workers, ~~as appropriate.~~

~~58-60.~~ E5.4: Activity participants of the A6.4 activity are to ensure that A6.4 activity workers are not subjected to any form of forced labour⁴⁶ or the worst forms of child labour.⁴⁷

~~59-61.~~ E5.5: Activity participants of the A6.4 activity are to respect the freedom of association of the A6.4 activity workers and their rights to collective bargaining, ~~in a manner consistent with national law.~~

~~60-62.~~ E5.6: Activity participants of the A6.4 activity are to provide activity workers with accessible means to raise workplace concerns.

~~61-63.~~ E5.7: Activity participants of the A6.4 activity are to put measures in place to protect workers from inherent risks associated with their work or sector, including but not limited to physical, chemical, biological, and radiological hazards, as well as specific threats to women.

6.4.3. Element 6: Health and safety

E6 description:

~~62-64.~~ The A6.4 activity avoids adverse impacts on the health and safety of the community during its implementation, including those who, because of their circumstances, may be vulnerable.

E6 criteria:

~~63-65.~~ E6.1: The A6.4 activity is to avoid exposing communities to increased health risks (e.g., pollution, contaminated areas/resources) and diseases, and do not adversely affect the health of the community.

~~64-66.~~ E6.2: Activity participants of the A6.4 activity are to undertake appropriate assessments of the activity's risks and potential negative impacts on health and safety, including considering safety risks to communities. They are to adopt appropriate avoidance, minimization, and mitigation measures, favouring the prevention or avoidance of risks and impacts over their minimization and reduction. Additionally, they are to ensure that accidents or incidents associated with the A6.4 activity are appropriately recorded, reported and addressed, and that emergency preparedness and response plans are in place.

~~65-67.~~ E6.3: The health and safety measures should take into account differences in risk exposure and adopt a gender-sensitive approach, as well as consider marginalized and disadvantaged groups, including children, older persons, persons with disabilities, minorities, and Indigenous Peoples.

⁴⁶ Forced labour, which consists of any work or service not voluntarily performed and exacted from an individual under threat of force or penalty, shall not be used in connection with the A6.4 activity. Where cases of forced labour are identified, immediate steps ~~shall are to~~ be taken to correct and remedy them.

⁴⁷ International Labour Organization. What is child labour? Available at: <https://www.ilo.org/international-programme-elimination-child-labour-ipecc/what-child-labour>

6.4.4. Element 7: Gender equality⁴⁸

E7 description:

~~66-68.~~ The A6.4 activity avoids potential gender-based risks and impacts by implementing effective measures to prevent, eliminate or mitigate such risks and impacts, thereby eliminating the possibility of reinforcing pre-existing inequalities and/or creating new ones.

E7 criteria:

~~67-69.~~ E7.1: Activity participants of the A6.4 activity are to avoid reinforcing gender-based discrimination and do not lead to or contribute to adverse impacts on gender equality and/or the situation of women and girls in all their diversity.

~~68-70.~~ E7.2: Activity participants of the A6.4 activity are to apply the principles of non-discrimination, equal treatment, and equal pay for equal work.

6.4.5. Element 8: Land acquisition and involuntary resettlement⁴⁹

E8 description:

~~69-71.~~ The Article 6.4 activity avoids involuntary resettlement. The A6.4 activity supports the avoidance of activity-related land acquisition and restrictions on land use that lead to adverse impacts on communities and persons, including physical displacement (relocation, loss of residential land or loss of shelter) and economic displacement (loss of land, assets, or access to assets, leading to loss of income sources or other means of livelihood). Where involuntary resettlement is unavoidable, it is to be minimized, and appropriate measures to mitigate adverse impacts on displaced persons (and on host communities receiving displaced persons) are to be carefully consulted, planned and implemented.

E8 criteria:

~~70-72.~~ E8.1: In the implementation of the 6.4 activity, activity participants of the A6.4 activity are to avoid involuntary resettlement.

~~71-73.~~ E8.2: When physical displacement (i.e., relocation or loss of shelter) cannot be avoided, activity participants of the A6.4 activity are to mitigate the displacement impacts on, and risks for, displaced persons and host communities to, at minimum, restore their livelihoods and/or living standards to pre-project levels. If the A6.4 activity involves Indigenous Peoples, their free, prior, and informed consent (FPIC)⁵⁰ must be obtained in accordance with Element 9, included in section 6.4.6 of and in particular with criteria E9.5.

~~72-74.~~ E8.3: Activity participants of the A6.4 activity are to mitigate impacts and risks of economic displacement (loss of land, assets, or access to assets, leading to loss of income sources or other means of livelihood), when economic displacement cannot be avoided.

⁴⁸ Concepts and definitions available at: <https://www.un.org/womenwatch/osagi/conceptsanddefinitions.htm>

⁴⁹ Involuntary resettlement refers to a scenario when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

⁵⁰ FPIC is a specific right of Indigenous Peoples recognized in the United Nations Declaration on the Rights of Indigenous Peoples. FPIC allows Indigenous Peoples to engage in negotiations to shape the design, implementation, monitoring and evaluation of the activity. See <https://www.fao.org/indigenous-peoples/our-pillars/fpic/en/>.

~~73-75.~~ E8.4: Activity participants of the A6.4 activity are to conduct a census and a socioeconomic baseline survey to identify all affected individuals, groups or communities that will be physically or economically displaced. A resettlement and/or livelihood action plans are to be integrated into A6.4-FORM-AC-016 (see figure 1) where physical displacement is involved. The action plan will be developed in accordance with international best practices (e.g. United Nations Development Programme Standard 5: Displacement and Resettlement ⁵¹), in full consultation with the affected individuals, groups or communities and based on good-faith negotiations. Resettlement understandings reached by the activity participants with affected individuals, groups or communities are to be reflected in written agreements.

6.4.6. Element 9: Indigenous Peoples

E9 description:

~~74-76.~~ The activity participant of the A6.4 activity recognizes the rights of Indigenous Peoples ~~and Indigenous individuals~~ as outlined in host Party laws and regulations, and obligations of the host Party directly applicable to the A 6.4 activity under relevant international ~~treaties and agreements~~ instruments.

~~75-77.~~ The activity participant of the A6.4 activity supports the creation of opportunities for Indigenous Peoples to participate in and benefit from A6.4 activity-related initiatives that may help them achieve their aspirations for economic and social development. Furthermore, the Article 6.4 activity take into account that Indigenous Peoples may play a role in SD by promoting, owning and managing A6.4 activities and enterprises as partners.

E9 criteria:

~~76-78.~~ E9.1: Activity participants of the A6.4 activity are to identify all communities of Indigenous Peoples within the A6.4 activity boundary that may be affected by the A6.4 activity. They are to approach these communities with respect, sensitivity, and transparency ensuring that Indigenous Peoples are fully informed and voluntarily participating in the identification process.

~~77-79.~~ E9.2: Activity participants of the A6.4 activity, with the full and effective participation of Indigenous Peoples involved, are to carry out an environmental and social analysis of the activities that may affect or involve Indigenous Peoples by completing A6.4-FORM-AC-015 (see figure 1). Adequate resources for the full and effective participation of Indigenous Peoples ~~must shall~~ be provided by activity participants of the A6.4 activity. The analysis should include the potential impacts on their rights, lands, territories, gender relations, resources, culture, cultural heritage ⁵² and other potentially intangible impacts on Indigenous Peoples.

~~78-80.~~ E9.3: A6.4 activities do not result in the forcible removal of Indigenous Peoples from their lands and territories. No relocation is to take place without the FPIC of the Indigenous Peoples concerned. FPIC must be documented, as well as the agreements reached in the good faith dialogues, consultations, and negotiations with the Indigenous Peoples.

⁵¹ Standard 5: Displacement and Resettlement. Guidance Note. UNDP Social and Environmental Standards available at: https://ses-toolkit.info.undp.org/sites/g/files/zskgke446/files/2023-03/UNDP%20SES%20S5%20Displacement%20and%20Resettlement%20GN_rev_July2022.pdf.

⁵² UNESCO. Cultural heritage. Available at: <https://uis.unesco.org/en/glossary-term/cultural-heritage>

79-81. E9.4: Activity participants of the A6.4 activity are to recognize and respect the Indigenous Peoples' collective rights to own, use, develop and control the lands, resources, and territories that they possess by reason of traditional ownership or other traditional occupation or use, as well as those which they have otherwise acquired.

80-82. E9.5: Activity participants of the A6.4 activity are to respect, protect and conserve the cultural, intellectual, religious and/or spiritual property of Indigenous Peoples. The activity participants are not to access or utilize it without FPIC. FPIC must be obtained when there are impacts on (i) territory or land or resources;⁵³ (ii) cultural heritage;⁵⁴ or (iii) places containing sacred elements of special value to the community. FPIC must be documented both within the process and in the agreements reached through dialogues, consultations and ultimately good faith negotiations with the Indigenous Peoples, special value to the community, and utilizing local protocols where available.

81-83. E9.6: Activity participants of the A6.4 activity are to ensure that Indigenous Peoples are provided with the equitable sharing of benefits derived from the utilization and/or commercial development of natural resources on their lands and territories or the use of their traditional knowledge and practices by the A6.4 activity. This is to be undertaken through good-faith negotiations in a manner that is culturally appropriate and inclusive, and that does not impede land rights or equal access to basic services, including health services, clean water, energy, education, safe and decent working conditions, and housing.

6.4.7. Element 10: Corruption⁵⁵

E10 description:

82-84. The A6.4 activity ensures the avoidance, prevention, and detection of corruption, and responds to corruption or corruption attempts during activity design, development, implementation and operation. To ensure this, activity participants of the A6.4 activity recognize that corruption negatively impacts every aspect of society by diverting essential resources needed to alleviate poverty, enhance health outcomes, and provide children with quality education.

6.4.8. Element 11: Cultural heritage⁵⁶

E11 description:

83-85. The A6.4 activity avoids impacts on cultural heritage. When avoidance of impacts is not possible, activity participants of the A6.4 activity are to identify and implement measures to address impacts on cultural heritage by completing A6.4-FORM-AC-015 and the A6.4 Environmental and social management plan (see figure 1).

E11 criteria:

⁵³ Impacts on territories or land shall be considered in conjunction with provisions in Element 8 (Land acquisition and involuntary resettlement) of this tool.

⁵⁴ Impacts on cultural heritage shall be considered in conjunction with provisions in Element 11 (Cultural heritage) of this tool.

⁵⁵ Please refer to the paragraph 23(e).

⁵⁶ See footnote 53 .

84-86. E11.1: The A6.4 activity does not cause or contribute to the alteration, damage, or removal of any sites, objects, or structures of critical cultural heritage.

85-87. E11.2: Activity participants of the A6.4 activity are responsible for designing the activity to avoid significant adverse impacts on cultural heritage. The environmental and social risk impact assessment should determine whether the proposed location of an activity is in areas where cultural heritage is expected to be found during implementation or operations. Activity participants of the A6.4 activity will not proceed with the activity until an assessment by professionals and/or entities recognized by the host government, academia and/or the United Nations Educational, Scientific and Cultural Organization (UNESCO)⁵⁷ is made to ensure that no adverse impacts on cultural heritage will occur. If the A6.4 activity involves Indigenous Peoples, FPIC must be obtained in accordance with Element 9, included in section 6.4.6 of and in particular with P9.5 criteria.

86-88. E11.3: Where the A6.4 activity proposes to utilize cultural heritage, including the knowledge, innovations, or practices of local communities, the affected communities shall are to be informed of their rights,⁵⁸ the scope and nature of the proposed commercial development, and the potential consequences of such development.

7. Sustainable development impacts

87-89. Activity participants shall identify and assess the potential positive and negative direct impacts⁵⁹ of their A6.4 activities on the SD of the host Party(ies) by considering the host Party(ies) SD objectives and priorities (see section 7.1) and the SDGs; establishing activity-level SD indicators and monitoring and reporting the outcomes against the established indicators.

7.1. Demonstrating positive and negative SD impacts

88-90. **Step 1: Identify SD objectives and priorities of host Party** (see figure 1)

- (a) Activity participants shall identify the host Party's SD objectives and priorities, which may include national strategies for SD and/or SDG achievement, SDG national targets and indicators, and economic, social and environmental indicators related to the A6.4 activity;
- (b) If the host Party defines national strategies for SD, SDG achievement, or SDG national targets and indicators relevant to section 6.3.6 of the A6.4 activity, activity participants shall explicitly identify any SDG-specific objectives and priorities in the A6.4-FORM-AC-017;
- (c) Activity participants shall also identify any host Party objectives and priorities that are not clearly responsive to any SDG in the same form.

89-91. **Step 2: Assess impacted SDGs** (see figures 1 and 3)

⁵⁷ UNESCO expert facility. Available at: <https://www.unesco.org/creativity/en/expert-facility>

⁵⁸ Cultural heritage is preserved, protected, and promoted in mitigation activities in a manner consistent with UNESCO Cultural Heritage conventions or any other national or international legal instruments that might have a bearing on the use of cultural heritage.

⁵⁹ Direct impact: an impact based on direct contribution or interaction by an activity with an environmental, social, or economic component during the implementation and operation, and if applicable dismantling.

- (a) The “Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development”⁶⁰ provides 17 SDGs, 169 targets and 249 indicators, which must be consulted by activity participants when identifying the impacted SDGs;
- (b) Activity participants shall identify the SDGs that the A6.4 activity directly impacts positively and/or negatively. Activity participants shall provide justification for any excluded SDGs, considering the SD objectives and priorities of the host Party, including those described above and the criteria defined in paragraph 95(c) below (see figures 1 and 3);
- (c) Impacts on the SDGs and their goals shall:
 - (i) Be relevant to the A6.4 activity type ~~(based on SDGs targets and indicators)~~;
 - (ii) Result in a direct impact (i.e., the A6.4 activity is the main driver of change);
 - (iii) Be recurring/lasting during the crediting period of the A6.4 activity and impact the stakeholders and/or local environment in a direct and measurable way;
- (d) Once activity participants identify SDGs impacted by the A6.4 activity, they are required to:
 - (i) Review the respective targets defined under the identified SDGs from the latest “Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development”;
 - (ii) Select target(s) under the SDGs based on the criteria defined in the paragraph 95(c) above;
 - (iii) Review indicators defined under the selected target(s) within the identified SDGs and select relevant indicator(s). Since these indicators are defined at regional and national levels, activity participants shall develop their own activity-level SD indicators, as per step 3 below.

90-92. Step 3: Establish A6.4 activity-level SD indicators (see figures 1 and 3)

- (a) Activity participants shall establish A6.4 activity-level SD indicators for each identified direct impact to the SDG resulting from the activity, taking into consideration the SDG, SDG targets and SDG indicators. All relevant SDG targets and corresponding indicators for each SDG should be chosen (see figures 1 and 3, and table 3 below);
- (b) When activity participants identify negative impacts on any of the 17 SDGs, they should refer to the outcomes of the risk assessment (see Section 6 above, Steps 1 and 2);
- (c) If the identified negative impacts on the SDG, SDG targets and SDG indicators are already considered in A6.4-FORM-AC-015 and A6.4-FORM-AC-016, activity participants do not need to establish relevant activity-level SD indicator(s);

⁶⁰ The latest “Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development” is available at <https://unstats.un.org/sdgs/indicators/indicators-list/> in six official languages of the United Nations.

- (d) If the identified negative impacts on the SDG, SDG targets and SDG indicators are not already considered in A6.4-FORM-AC-015 and A6.4-FORM-AC-016, activity participants are required to establish relevant activity-level SD indicator(s) to minimize and mitigate the identified negative impacts. Where complete avoidance of identified negative impact is not possible, activity participants shall provide evidence, including monitoring of activity-level SD indicators, that the A6.4 activities align with host Party legislation.

91.93. A6.4 Activity-level SD indicator(s) can be qualitative or quantitative and shall be monitorable over the crediting period. The A6.4 activity-level SD indicator(s) shall:

- (a) Be in line with the objectives and intent of the SDGs and their corresponding targets;⁶¹
- (b) Be directly impacted by the activity;
- (c) Not be a one-off occurrence;
- (d) Include the monitoring approach and parameters, including the frequency of monitoring, to be used for each selected activity-level SDG target indicator defined in the A6.4-FORM-AC-017.

Table 3. Example of defining an A6.4 activity-level SD indicator

Sustainable Development (SDG)	Goal	SDG target	SDG indicator	Activity-level SD indicator
Goal 1. End poverty in all its forms everywhere (for renewable energy activity or low greenhouse gas emitting safe drinking water production system implementation activity)		1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance	1.4.1 Proportion of population living in households with access to basic services	Proportion of population living in households within activity area with access to basic services (drinking water and modern energy)
Goal 5. Achieve gender equality and empower		5.1 End all forms of discrimination against all women	5.1.1 Whether or not legal frameworks are in place to promote,	Whether or not activity participants have

⁶¹

See footnote 59.

Sustainable Development (SDG)	Goal	SDG target	SDG indicator	Activity-level SD indicator
all women and girls (all activity types)		and girls everywhere	enforce and monitor equality and non-discrimination on the basis of sex	put in place a policy or gender action plan to ensure, enforce and monitor equality and discrimination on the basis of sex.
Goal 5. Achieve gender equality and empower all women and girls (for high-efficiency biomass-fired cookstove activity)		5.4 Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies, and the promotion of shared responsibility within the household and the family as nationally appropriate	5.4.1 Proportion of time spent on unpaid domestic and care work by sex, age and location	Average time-saving associated with cooking time and fuel collection
Goal 6. Ensure availability and sustainable management of water and sanitation for all (for low greenhouse gas emitting safe drinking water production system implementation activity)		6.1 By 2030, achieve universal and equitable access to safe and affordable drinking water for all	6.1.1 Proportion of population using safely managed drinking water services	Total number of people served with satisfactory level of safe water
Goal 7. Ensure access to affordable, reliable, sustainable and modern energy for all (for the renewable energy activity)		7.1 By 2030, ensure universal access to affordable, reliable and modern energy services	7.1.1 Proportion of population with access to electricity	Total number of people served with access to electricity
Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all (for the methane recovery activity from the animal manure management activity)		8.5 By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and	8.5.1 Average hourly earnings of female and male employees, by occupation, age and persons with disabilities status	Number of full-time jobs created for males and females by the project Percentage of the activity employees with salaries equivalent to the

Sustainable Development (SDG)	Goal	SDG target	SDG indicator	Activity-level SD indicator
		equal pay for work of equal value		average wage of a country
Goal 13. Take urgent action to combat climate action and its impacts (for renewable energy activity)		13.2 Integrate climate change measures into national policies, strategies and planning	13.2.1 Number of countries with nationally determined contributions, long-term strategies, national adaptation plans and adaptation communications, as reported to the secretariat of the United Nations Framework Convention on Climate Change 13.2.2 Total greenhouse gas emissions per year	Amount of greenhouse gas emissions avoided or sequestered as a result of the activity per year in tCO _{2e}

7.2. Monitoring procedures for A6.4 activity-level SD indicators

[92-94.](#) Activity participants shall describe in the A6.4-FORM-AC-017 the monitoring procedures of A6.4 activity-level SD indicators, including:

- (a) The A6.4 activity-level SD indicators, including selected SDGs, SDG targets and SDG indicators;
- (b) Data unit and source of data;
- (c) Information on monitoring/measurement procedures/methods;
- (d) Monitoring frequency (at least annual).

[93-95.](#) Based on the requirements specified in the regulations listed under Section 4: Normative references, sub-paragraphs (b) through (g), once activity participants complete the A6.4-FORM-AC-017 reflecting inputs received or issues raised by stakeholders during local and global stakeholder consultations, the outcome (including the form) must be shared with the DOE performing validation.

[94-96.](#) Once the A6.4 activity is registered, activity participants shall monitor and report the outcome of monitoring A6.4 activity-level SD indicators in the monitoring report, as per the A6.4-FORM-AC-017. A DOE is required to verify the monitoring of the indicators during each request for issuance of A6.4 ERs.

8. Validation

[95-97.](#) The requirements for validation of A6.4 activities are set out in the Article 6.4 validation and verification standards for projects and PoAs.⁶²

⁶² See Section 4: Normative references.

96-98. The DOE shall validate the appropriateness, relevance, and sufficiency of the information provided in A6.4-FORM-AC-015, A6.4-FORM-AC-016, and A6.4-FORM-AC-017 as reported in the project design document by:

- (a) Step 1: reviewing stakeholder consultation documents [inputs/comments];
- (b) Step 2: conducting interviews with local stakeholders;
- (c) Step 3: reviewing relevant host party documentation;
- (d) Step 4: providing a validation opinion employing professional judgement and as per A6.4 validation and verification standard for projects and PoAs.

97-99. The DOE shall validate:

- (a) Both quantitative and qualitative information provided, to assess the adequacy of the identification of environmental and/or social risks caused by the A6.4 activity. The validation should be done by taking the four steps referred to in paragraph 97 above, in order to:
 - (i) Validate the risk assessment and risk mitigation plan presented in A6.4-FORM-AC-015, ~~considering host Party regulations and other relevant requirements~~ as per the provision referred in the paragraph 12;
 - (ii) Validate that the activity-level environmental and social indicators defined in the A6.4 environmental and social safeguards risk assessment ensure that the A6.4 activities do not cause harm, to the environment and stakeholders.
- (b) That the outcome of A6.4-FORM-AC-015, A6.4-FORM-AC-016, and A6.4-FORM-AC-017 have been shared during the local stakeholder consultation and that inputs received from the consultation are reflected in the completed form;
- (c) That there is an established continuous engagement of local stakeholders in accordance with the AS-P or the AS-PoA;⁶³
- (d) The appropriateness, relevance, and sufficiency of the information provided in the A6.4-FORM-AC-017 by taking the four steps referred to in paragraph 97 above in order to:
 - (i) Validate that the SD objectives and/or criteria of the host Party documented in A6.4-FORM-AC-017 are in line with the host Party's definition (when available);
 - (ii) Validate that the A6.4 activity-level SD indicators defined in A6.4-FORM-AC-017 are universally applicable to the activity type and significant, recurring/lasting for at least the entire crediting period of the A6.4 activity, and impacting the primary stakeholders and/or local environment in a direct and measurable way, resulting in a primary benefit;
 - (iii) Validate that the description of A6.4 activity-level SD indicators is accurately reflected in A6.4-FORM-AC-017.

⁶³ Ibid.

~~98-100.~~ The DOE shall provide a validation opinion stating that, based on A6.4-FORM-AC-016 and A6.4-FORM-AC-017, the A6.4 activity results in no harm and contributes to SD.

~~99-101.~~ If the DOE identifies the presence of unavoidable negative impacts that exceed the environmental and social safeguards elements and criteria and cannot be remediated by consultation or mitigation, the DOE shall issue a negative validation opinion as per the A6.4 validation and verification standard⁶⁴ or submit a deviation request to the Supervisory Body prior to submitting a request for registration. Box 1 below contains a best practice example of validation.

Box 1. Best practice example of validation

A proposed activity is to distribute energy-efficient appliances to households in coastal and peninsular areas. An activity participant identifies that their activity contributes to SDG 14⁶⁵ and SDG 15⁶⁶ based on the location of the proposed activity, which is near to the marine and forest ecosystem. During the validation, the DOE raises a corrective action request (CAR) asking the activity participants to clarify how the proposed activity's impact on SDG 14 and SDG 15 is direct and primary, as per section 7.1 of the applied tool. The activity participants acknowledge that their activity does not directly contribute to SDG 14 and SDG 15 and excludes these contributions to SDG 14 and SDG 15 from A6.4-FORM-AC-017. Based on this revision, the DOE closes its CAR accordingly.

9. Verification

~~100-102.~~ The requirements relating to the verification for A 6.4 activities are set out in the Article 6.4 validation and verification standards for projects and PoAs.⁶⁷ The DOE shall verify the appropriateness, relevance, and sufficiency of information provided in the monitoring of the environmental and social indicators in A6.4-FORM-AC-016 and A6.4 activity-level SD indicators in A6.4-FORM-AC-017 as reported in a monitoring report.

~~101-103.~~ If the DOE observes any deviation from the information in A6.4-FORM-AC-016 and A6.4-FORM-AC-017 that were validated at the registration, it will provide its verification opinion on the observed deviation, indicating whether the A6.4 activity is still within the social and environmental impact and/or SD impact defined in A6.4-FORM-AC-015, A6.4-FORM-AC-016 and the A6.4 Sustainable development impact form.

~~102-104.~~ The DOE shall review any input and comments received via continuous engagement of local stakeholders in accordance with the AS-P or AS-PoA,⁶⁸ conduct interviews with local stakeholders, and employ professional judgement in the evaluation of the ex-post fulfilment of risk assessment and SD impacts due to the activity.

⁶⁴ See the paragraph 64 of VVS-P and the paragraph 160 of VVS-PoA.

⁶⁵ SDG 14 (life below water) is to conserve and sustainably use the oceans, seas and marine resources for sustainable development. (See <https://sdgs.un.org/goals/goal14>)

⁶⁶ SDG 15 (life on land) is protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss (See <https://sdgs.un.org/goals/goal15>).

⁶⁷ See Section 4: Normative references.

⁶⁸ Ibid.

~~403.105.~~ The DOE shall confirm that the activity participants have measured, monitored, and reported parameters established in A6.4-FORM-AC-016 and A6.4-FORM-AC-017 submitted at the registration stage.

~~404.106.~~ If the DOE identifies unavoidable negative impacts that exceed the parameters established in A6.4-FORM-AC-016 and A6.4-FORM-AC-017 and cannot be remediated by consultation or mitigation, the DOE shall issue a negative verification opinion as per the A6.4 validation and verification standard⁶⁹ or submit a deviation request to the Supervisory Body prior to submitting a request for issuance. Box 2 below contains a best practice example of verification.

Box 2. Best practice example of verification

Activity participants identify the A6.4 activity's contribution to SDG 8⁷⁰ based on jobs generated from the proposed activity and include the number of generated jobs in A6.4-FORM-AC-017 as a monitoring indicator. During the verification of the number of jobs generated under SDG 8, a DOE identifies that the number includes short-term construction phase jobs and raises a CAR asking activity participants to clarify how the inclusion of short-term construction phase jobs aligns with section 7.1 of the applied tool, which requires SD impact to be significant and recurring/lasting for at least the entire crediting period of the activity. The activity participants acknowledge that the inclusion of short-term construction phase jobs is not in line with the SD impact defined in section 7.1 of the applied tool, and the DOE closes the CAR by verifying a revised number that does not include short-term construction phase jobs.

⁶⁹ Provide a citation to a specific paragraph in the regulation.

⁷⁰ SDG 8 (Decent work and economic growth) is to promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all (See <https://sdgs.un.org/goals/goal8>).

Appendix 1. Guiding questions for the risk assessment of the environmental and social safeguards elements and criteria

1. Instruction

1. A6.4-FORM-AC-015 is based on this Appendix. This form contains the **element level question (ELQ)** and **additional guiding question (AGQ)** in accordance with the elements and criteria defined in section 6.3: Environmental and social safeguards of the A6.4 SD Tool.
2. This form shall be completed by the activity participant of the A6.4 activity as part of the risk assessment to identify, evaluate, avoid, minimize, and mitigate potential risks associated with proposed A6.4 activities.
3. Activity participants of the A6.4 activity shall adopt mitigation strategies to avoid risks or, where complete avoidance is not possible and activity implementation is nonetheless permitted, minimize and mitigate identified risks.
4. Where complete avoidance of risk is not possible, activity participants of the A6.4 activity shall provide evidence, including monitoring of activity-level environmental and social indicators, that the A6.4 activities comply with the environmental and social safeguarding elements and criteria, including those relevant to the eleventh preambular paragraph of the Paris Agreement, as well as relevant and applicable national and international instruments to which the host Party is bound. Such international instruments may include, for example, the UN Guiding Principles on Business and Human Rights, the International Labour Organization (ILO) fundamental conventions, and recognized international best practices.

2. Environmental safeguards elements

2.1. *Element 1: Energy*

5. This element and its criteria are described in subsection 6.3.1 of Section 6: Environmental and social safeguards of the A6.4 SD Tool.

Table 21. Guiding questions for the risk assessment on energy

<i>Element 1 Energy</i>		<i>Risk assessment</i>	
ELQ 1	Does the A6.4 activity pose a risk to the availability and reliability of the energy supply to other users?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding questions:			
AGQ 1.1	Would the A6.4 activity negatively	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No	

Element 1 Energy		Risk assessment	
	impact ¹ the availability and reliability of the energy supply to others?	<input type="checkbox"/> N/A	
Conclusion of the risk assessment on Element 1 (Energy): If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in A6.4-FORM-AC-016.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.2. Element 2: Air, land and water

6. This element and its criteria are described in subsection 6.3.2 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 2. Guiding questions for the risk assessment on air

EP2.1 Air		Risk assessment	
ELQ 2.1.a	Does the A6.4 activity involve a risk of releasing air pollutants due to routine and non-routine activities, with the potential for local and regional impacts? If yes or potentially, please respond to guiding questions AGQ2.1.1-1 and AGQ2.1.1-2.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
ELQ 2.1.b	Is the A6.4 activity located in an area where historical pollution, such as air contamination, exists? If yes or potentially, please respond to guiding question AGQ2.1.2	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding questions:			
AGQ2.1.1-1	Would the A6.4 activity involve the release of air pollutants that cannot be minimized and/or controlled in terms of intensity and mass flow?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ2.1.1-2	Would the A6.4 activity involve the release of pollutants into the air under routine, non-routine, or accidental circumstances with the	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

¹ For example: if the proposed activity intends to consume a high amount of energy that might result in overloading existing energy supply.

EP2.1 Air		Risk assessment	
	potential for local and regional impacts?		
AGQ2.1.2	Would the A6.4 activity <u>take place at a site where existing levels of pollution exceed what is legally permitted, and where activity participants need to respond to those levels of air pollution that exceed legal limits, with the host country identifying activity participants as responsible for mitigation or remediation measures?</u> existing levels of pollution exceed what is legally permitted and activity increase the risk of historical pollution such, as air contamination, where the activity participants are legally responsible for mitigation measures?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Conclusion of the risk assessment on Element 2 (Air, land and water) – Air: If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

Table 3. Guiding questions for the risk assessment on land

Element 2.2 Land		Risk assessment	
ELQ 2.2.a	Does the A6.4 activity have any risk of releasing land pollutants due to routine and non-routine activities, with the potential for local and regional impacts? If yes or potentially, please respond to guiding questions AGQ2.2.1-1, AGQ2.2.1-2, AGQ2.2.3, AGQ2.2.4 and AGQ2.2.5.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
ELQ 2.1.b	Is the A6.4 activity located in an area where historical pollution, such as	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 2.2 Land		Risk assessment	
	land contamination, exists? If yes or potentially, please respond to guiding questions AGQ2.2.2.		
Additional guiding questions:			
AGQ2.2.1-1	Would the A6.4 activity lead to the release of land pollutants that cannot be minimized and/or controlled in terms of the intensity and mass flow of their release in accordance with host party regulations? ²	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ2.2.1-2	Would the A6.4 activity lead to the release of pollutants to land under routine, non-routine, or accidental circumstances, with the potential for local and regional impacts?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ2.2.2	Would the A6.4 activity <u>take place at a site where existing levels of pollution exceed what is legally permitted, and where activity participants need to respond to those levels of air pollution that exceed legal limits, with the host country identifying activity participants as responsible for mitigation or remediation</u>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

² Including, but not limited to, soil policy, soil protection laws, regulations and international best practices governing fertilizer or soil conditioner use in croplands and grasslands. ~~For example, including in relation to A6.4 carbon dioxide removal activities that involve the addition of carbonaceous or other materials or matter to soils may consider. Particular attention should be given to potential contaminants and by-products from carbon dioxide removal.~~ ~~the activities on land in relation to, for example, the maximums of tolerable free metals and other types of contaminants in arable and grassland soils.~~

Element 2.2 Land		Risk assessment	
	<p>measures?lead to the continuation of historical pollution, such as air contamination, not in accordance with host Party regulations or subnational and local regulations, where the activity participants are legally responsible for mitigation measures?</p>		
AGQ2.2.3	<p>Would the A6.4 activity pose any risk to soil and land use, as well as surface and groundwater, due to land erosion?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ2.2.4	<p>Would the A6.4 activity pose any risk to the functions and services provided by the landscape through the degradation of soil resources and the loss of ecosystem services provided by soils?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ2.2.5	<p>If the A6.4 activity involves the production, harvesting, and/or management of living natural resources by small-scale landholders and/or local communities, would activity pose any risk related to appropriate and culturally sensitive sustainable resource management practices?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 2.2 Land	Risk assessment
<p>Conclusion of the risk assessment on Element 2 (Air, land and water) – Land: If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in A6.4-FORM-AC-016.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

Table 4. Guiding questions for the risk assessment on water

Element 2.3 Water		Risk assessment	
ELQ2.3	<p>Does the A6.4 activity pose any risk that could compromise the promotion of sustainable and efficient use of water resources, potentially leading to negative impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes?</p> <p>If yes or potentially, please respond to the guiding questions.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding questions:			
AGQ2.3.1	<p>Would the A6.4 activity involve water usage that could result in negative impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers, and lakes?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ2.3.2-1	<p>Would the A6.4 activity lead to the release of pollutants into water under routine, non-routine, or accidental circumstances?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 2.3 Water		Risk assessment	
AGQ2.3.2-2	Would the A6.4 activity involve or lead to the release of pollutants that cannot be avoided? ³	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
<u>AGQ2.3.3</u>	<u>Would the A6.4 activity take place at a site where existing levels of pollution exceed what is legally permitted, and where activity participants need to respond to those levels of air pollution that exceed legal limits, with the host country identifying activity participants as responsible for mitigation or remediation measures?</u>	<input type="checkbox"/> <u>Yes</u> <input type="checkbox"/> <u>Potentially</u> <input type="checkbox"/> <u>No</u> <input type="checkbox"/> <u>N/A</u>	
AGQ2.3.43	Would the activity participants adopt measures to avoid or reduce water usage so that the activity's water consumption does not have significant negative impacts on people and biodiversity in terms of availability, accessibility, reliability, and quality, compared to the environmental and social baseline?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

³ ~~For example, A6.4 activities involving subsurface geological CO₂ storage may have shall be undertaken consistent with local and national surface and groundwater protection laws and regulations. Attention should also be given to potential impacts on water bodies that may receive runoff that contains materials or other by-products from land treated for the purpose of CO₂ removal by considering. Consideration shall also be given to relevant marine treaties (e.g. United Nations Convention on Law of the Sea; London Convention and Protocol; Oslo-Paris Treaty) that in some cases apply to CO₂ removal activities, including those clauses relating to the control of land-based sources of marine pollution.~~

Element 2.3 Water	Risk assessment
<p>Conclusion of the risk assessment on Element 2 (Air, land and water) – Water: If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.3. Element 3: Ecology and natural resources

7. This element and its criteria are described in subsection 6.3.3 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 5. Guiding questions for the risk assessment on ecology and natural resources

Element 3 Ecology and natural resources		Risk assessment	
ELQ3	<p>Does the A6.4 activity pose a risk of direct, indirect, and cumulative activity-related impacts on habitats and the biodiversity they support, including threats such as habitat loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient-loading, pollution, incidental take, and projected climate change impacts? ⁴</p> <p>If yes or potentially, please respond to the additional guiding questions.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ3.1.1	<p>Would the A6.4 activity adopt the precautionary approach to natural resource</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

⁴ For examples, in the case of some CO₂ removal methods, this may include the potential impacts on the pH of receiving water bodies and the effects this may have on the biota and habitat therein (e.g. impacts upon fish breeding grounds, such as mineral deposition and calcification of sediments and gravels).

Element 3 Ecology and natural resources		Risk assessment	
	conservation, including soil, minerals, and other depletable natural resources, to prevent irreversible negative environmental impacts by the proposed activity?		
AGQ3.2.1	Would the A6.4 activity introduce any risk of loss of ecosystem services?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ3.2.2-1	Would the A6.4 activity lead to unsustainable forest management, including timber harvesting?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ3.2.2-2	Would the A6.4 activity lead to the depletion of biodiversity and ecosystem functionality in areas where improved forest management is undertaken?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ3.2.3	Would the A6.4 activity increase the risk of not meeting the requirements for environmentally friendly, socially beneficial, and economically viable plantations, using native species whenever possible <u>maintaining or enhancing biodiversity and ecosystem functionality within the activity boundary?</u>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ3.2.4-1	Would the A6.4 activity impose any risk to any recognized endangered, vulnerable, or critically endangered species?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 3 Ecology and natural resources		Risk assessment	
AGQ3.2.54-2	Would the A6.4 activity impose any risk to the identified habitats of endangered species?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ3.2.65	Would the A6.4 activity impose any risk of introducing alien species into new environments?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ3.2.6-7	Would the A6.4 activity increase the risk of spreading alien species within the country or region of the proposed activity?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ3.3.1	<p>Would the A.6.4 activity impose a risk of negatively impacting critical habitats?</p> <p>If yes or potentially, the activity participants of the A6.4 activity are to demonstrate how the activity meets the three prerequisite/es described in EP3.3.1 above.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Conclusion of the risk assessment on Element 3 (Ecology and natural resources): If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.</p>			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

3. Social safeguards

3.1. Element 4: Human rights

- 8. This element and its criteria are described in subsection 6.4.1 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 6. Guiding questions for the risk assessment on human rights

Element 4 Human rights		Risk assessment	
ELQ 4a	Does the A6.4 activity pose any risk that, during its	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No	

Element 4 Human rights		Risk assessment	
	<p>implementation and operation, it could undermine national laws and/or international instruments [treaties][law] for the realization of human rights, including rights related to sustainable development, poverty alleviation, and the fair distribution of development opportunities and benefits?</p> <p>If yes or potentially, please respond to the additional guiding questions AGQ4.1-1, AGQ4.1-2 and AGQ4.1-3.</p>	<input type="checkbox"/> N/A	
ELQ 4b	<p>Does the A6.4 activity pose any actual or potential adverse human rights risk in the human rights due diligence process?</p> <p>If the answer to this question is yes or potentially, please identify relevant measures to avoid and mitigate potential adverse human rights impacts in the Environmental and social management plan form.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding questions:			
AGQ4.1-1	<p>Would the A6.4 activity lead to any adverse impact that undermines national or regional measures for the realization of human rights, particularly affecting the enjoyment of civil,</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 4 Human rights		Risk assessment	
	political, economic, social, or cultural rights of the affected population, especially marginalized groups including those related to SD?		
AGQ4.1-2	<p>Does the A6.4 activity pose any actual or potential adverse human rights risk in the human rights due diligence process?</p> <p>If the answer to this question is yes or potentially, please identify relevant measures to avoid and mitigate potential adverse human rights impacts in the Environmental and social management plan form. Would the A6.4 activity lead to inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ4.1-3	<p>Would the A6.4 activity impose any risk of causing restrictions in the availability, quality, and/or access to resources or basic services, particularly for marginalized individuals or groups, including persons with disabilities?⁵</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

⁵ See also criterion PE1.12: Energy in relation to accessing the electricity and avoidance of curtailment and/or diversion of renewable electricity.

Element 4 Human rights	Risk assessment
<p>Conclusion of the risk assessment on Element 4 (Human rights): If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

3.2. Element 5: Labour

9. This element and its criteria are described in subsection 6.4.2 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 7. Guiding questions for the risk assessment on labour

Element 5 Labour		Risk assessment	
ELQ5	Do the A6.4 activity and the activity participants pose a risk to promoting safe and healthy working conditions? If yes or potentially, please respond to the additional guiding questions.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 5.1	Would the A6.4 activity compromise the promotion of education programmes for local communities to access labour opportunities created by the activity?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.2	Would the A6.4 activity compromise the promotion of fair treatment, non-discrimination, and equal opportunity of activity workers?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.3	Would the A6.4 activity impose any risk to the protection of activity workers, including vulnerable workers such as women, persons with disabilities, migrant workers, contracted workers, community	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 5 Labour		Risk assessment	
	workers, and primary supply workers, as appropriate?		
AGQ 5.4	Would the A6.4 activity lead to the use of forced labour or child labour?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.5	Would the A6.4 activity impose any risk of failing to respect the rights of freedom of association and collective bargaining for activity workers in a manner consistent with national law?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.6	Would the A6.4 activity impose any risk of not providing activity workers with accessible means to raise workplace concerns?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.7	Would the A6.4 activity impose risks inherent to the nature of the work or sector, including, but not limited to, physical, chemical, biological, and radiological hazards, as well as specific threats to women?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Conclusion of the risk assessment on Element 5 (Labour): If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

3.3. Element 6: Health and safety

10. This element and its criteria are described in subsection 6.4.3 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 8. Guiding questions for the risk assessment on health and safety

Element 6 Health and safety		Risk assessment	
ELQ6	Does the A6.4 activity pose any risks to or	<input type="checkbox"/> Yes	

Element 6 Health and safety		Risk assessment	
	<p>impacts on the health and safety of affected communities, including those who may be vulnerable due to their circumstances?⁶</p> <p>If yes or potentially, please respond to the additional guiding questions.</p>	<input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 6.1-1	<p>Would the A6.4 activity and its activity participants increase the risks and impacts on the health and safety of affected communities during the activity's crediting period, including those who may be vulnerable due to their circumstances?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-2	<p>Would the A6.4 activity and its activity participants impose any health and/or safety risks related to the implementation and/or infrastructure development (e.g., roads, buildings, dams) of the proposed activity?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-3	<p>Would the A6.4 activity impose any risk related to air pollution, noise, vibration, traffic, injuries, physical hazards, or poor surface water quality due to runoff, erosion, or sanitation?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-4	<p>Would the A6.4 activity involve any risk of harm or losses</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially	

⁶ ~~For examples, This shall include respiratory risks to local communities posed by A6.4 CO₂ removal activities that involve the application of materials to land may pose respiratory risks to local communities (e.g. incidental airborne release of fine particulate matter).~~

Element 6 Health and safety		Risk assessment	
	due to the failure of structural elements (e.g., collapse of buildings or infrastructure)? ⁷	<input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-5	Would the A6.4 activity involve risks related to water-borne or other vector-borne diseases (e.g., temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health issues, including gender-based violence?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-6	Would the A6.4 activity pose any risk related to transport, storage, use, and/or disposal of hazardous or dangerous materials (e.g., explosives, fuel, and other chemicals) during implementation and operation? ⁸	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-7	Would the A6.4 activity involve adverse impacts on ecosystems and ecosystem services relevant to community health (e.g., food, surface water purification, natural buffers from flooding)?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.2	Would the A6.4 activity involve health and/or safety risks to communities that	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No	

⁷ ~~For example, A6.4 activities involving the capture, transport and storage of CO₂, may this shall include CO₂ transport infrastructure and injection wellbores.~~

⁸ ~~This shall may include A6.4 activities involving the transport and storage of CO₂.~~

Element 6 Health and safety		Risk assessment	
	could result in accidents or incidents requiring mitigation measures in accordance with national legal requirements, including emergency preparedness and response plans, as appropriate?	<input type="checkbox"/> <i>N/A</i>	
AGQ 6.3	Would the A6.4 activity involve any health and/or safety risk exposure to women and men, as well as marginalized and disadvantaged groups, including children, older persons, persons with disabilities, minorities, and Indigenous Peoples?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Conclusion of the risk assessment on Element 6 (Health and safety): If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

3.4. Element 7: Gender equality

11. This element and its criteria are described in subsection 6.4.4 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 9. Guiding questions for the risk assessment on gender equality

Element 7 Gender equality		Risk assessment	
ELQ7	Does the A6.4 activity have potential gender-based risks and impacts that could reinforce pre-existing inequalities and/or create new ones? If yes or potentially, please respond to the additional guiding questions.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 7.1-1	Would the A6.4 activity lead to any adverse impacts on	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially	

Element 7 Gender equality		Risk assessment	
	gender equality and/or the situation of women and girls?	<input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 7.1-2	Would the A6.4 activity exacerbate the risks of gender-based violence (e.g., through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.)?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 7.2-1	Would the A6.4 activity impose a risk to the principles of non-discrimination, equal treatment, and equal pay for equal work? (This includes, for example, equal payment for women and men for work related to the implementation of the activity; fair conditions for women and men to participate in the implementation of the activity, considering pregnancy/maternity/paternity leave/marital status; prevention of sexual abuse and harassment and ensuring that the community (both women and men) is informed about the implementation of the activity in an accessible manner to ensure full engagement, including access to leadership positions).	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 7.2-2	Would the A6.4 activity pose any risk of preventing men and women from having equal opportunities to participate in identified tasks and activities, whether through paid work, volunteer work, or community contributions, as appropriate ?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 7.2-3	Would the A6.4 activity limit the participation of women or men in the workplace based on pregnancy, maternity/paternity leave, or marital status?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 7 Gender equality		Risk assessment	
AGQ 7.2-4	Would the A6.4 activity perpetuate discrimination against persons based on gender, particularly in terms of participation in the design and implementation of the activity or access to opportunities and benefits?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 7.2-5	Would the A6.4 activity limit women’s ability to use, develop, and protect natural resources, considering the different roles and positions of women and men in accessing environmental goods and services? (For example, activities that could lead to the degradation or depletion of natural resources in communities that depend on these resources for their livelihoods and well-being).	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Conclusion of the risk assessment on Element 7 (Gender equality): If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

3.5. Element 8: Land acquisition and involuntary resettlement⁹

12. This element and its criteria are described in subsection 6.4.5 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

⁹ Involuntary resettlement refers to a scenario when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

Table 130. Guiding questions for the risk assessment on land acquisition and involuntary resettlement

Element 8 Land acquisition and involuntary resettlement		Risk assessment	
ELQ8	<p>Does the A6.4 activity involve or support involuntary land acquisition or restrictions on land use that may cause physical displacement, economic displacement, or both?</p> <p>If yes or potentially, please respond the additional guiding questions.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 8.1	<p>Would the A6.4 activity lead to forced evictions or involuntary relocation of people?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 8.2-1	<p>Would the A6.4 activity pose any risks to displaced persons and host communities when physical displacement (i.e., relocation or loss of shelter) cannot be avoided?</p> <p><i>(If applicable)</i> Has the proposed A6.4 activity developed a resettlement action plan and/or livelihood action plan in consultation and agreement with affected individuals, groups or communities, as per host Party regulations?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 8 Land acquisition and involuntary resettlement		Risk assessment	
AGQ 8.2-2	<p>Would the A6.4 activity pose any risk related to restoring livelihoods and/or living standards to at least pre- activity levels for displaced persons?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 8.3	<p>Would the A 6.4 activity lead to economic displacement (i.e., loss of land or assets, or loss of access to assets, leading to loss of income sources or other means of livelihood)?</p> <p><i>(If applicable)</i> Have the activity participants considered the impacts and risks of economic displacement in the resettlement action plan and in consultation and agreement with affected individuals, groups or communities, as per host Party regulations?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 8.4	<p>Would the A6.4 activity and its activity participants impose any risk of not conducting full consultations with the affected individuals, groups, or communities, and of not considering good faith negotiations and reflecting resettlement understandings reached in written agreements?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 8 Land acquisition and involuntary resettlement	Risk assessment
<p>Conclusion of the risk assessment on Element 8 (Land acquisition and involuntary resettlement): If the answer to any of the additional guiding questions is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially”. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

3.6. Element 9: Indigenous Peoples

13. This element and its criteria are described in subsection 6.4.6 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 141. Guiding questions for the risk assessment on Indigenous Peoples

Element 9 Indigenous Peoples		Risk assessment	
ELQ9	Does the A6.4 activity involve Indigenous Peoples within the activity area of influence who may be affected directly or indirectly by the activity? If yes or potentially, please respond to the additional guiding questions.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 9.1	Would the A6.4 activity impose risks in areas where Indigenous Peoples are present (including the activity area of influence)?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.2-1	Would the A6.4 activity pose a risk to areas, lands, and territories claimed by Indigenous Peoples?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.2-2	Would the A6.4 activity pose risks to the rights, lands, natural resources, territories, and traditional livelihoods of Indigenous Peoples? <i>(if applicable)</i> Has an environmental and social analysis of the activities that may affect or involve Indigenous	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Potentially <input type="checkbox"/> N/A	

Element 9 Indigenous Peoples		Risk assessment	
	Peoples been conducted with the effective and meaningful participation of Indigenous Peoples (by completing the A6.4 Environmental and social safeguards form), and was it included in the activity documentation? <i>(if applicable)</i> Did the activity obtain free, prior, and informed consent (FPIC) from the Indigenous Peoples before using their cultural, intellectual, religious, and/or spiritual property?		
AGQ 9.3	Would the A6.4 activity lead to forcibly removing Indigenous Peoples from their lands and territories?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.4	Would the A6.4 activity lead to any risks regarding the recognition and respect of Indigenous Peoples' collective rights to own, use, develop, and control the lands, resources, and territories that they have traditionally owned, occupied, or otherwise used or acquired, including lands and territories for which they do not yet possess title?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.5	Would the A6.4 activity involve any risk of utilizing the cultural, intellectual, religious, and/or spiritual property of Indigenous Peoples without FPIC?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.6-1	Would the A6.4 activity pose risks related to the utilization and/or commercial development of natural resources on lands and territories claimed by Indigenous Peoples?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 9 Indigenous Peoples		Risk assessment	
	(Consider and, where appropriate, ensure consistency with Element 8)		
AGQ 9.6-2	<p>Would the A6.4 activity pose risks related to the Indigenous Peoples receiving an equitable share of benefits resulting from the use of their traditional knowledge and practices?</p> <p>Would the A6.4 activity pose risks related to ensuring that the sharing of benefits resulting from a good-faith negotiated agreement regarding the appropriate use of Indigenous Peoples' traditional knowledge and practices is culturally appropriate and inclusive?</p> <p>Would the A6.4 activity pose risks related to ensuring that the provisions of the agreement regarding the equitable sharing of benefits do not impede land rights or equal access to basic services, including health services, clean water, energy, education, safe and decent working conditions, and housing?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Potentially <input type="checkbox"/> N/A	
<p>Conclusion of the risk assessment on Element 9 (Indigenous Peoples): If the answer to any of the additional guiding questions above is either "Yes" or "Potentially", the conclusion of the risk assessment is accordingly either "Yes" or "Potentially". Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element's criteria in the A6.4-FORM-AC-016.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

3.7. Element 10: Corruption

14. This element and its criteria are described in subsection 6.4.7 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 5212. Guiding questions for the risk assessment on corruption

Element 10 Corruption		Risk assessment	
ELQ10	Do the activity participants provide a declaration that the proposed A6.4 activity, in its development, implementation, and operation, will not involve any illegal activities, including money laundering, tax evasion, fraud, bribery, or other criminal activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Conclusion of the risk assessment on Element 10 (Corruption): If the answer to the element-level question above is "No", it indicates a potential risk and is not in accordance with the Article 6.4 mechanism activity standards for activities (AS-P) and programmes of activities (AS-PoA) and the Article 6.4 mechanism activity cycle procedures for activities (ACP-P) and programmes of activities (ACP-PoA). The DOE shall issue a negative validation opinion as per the Article 6.4 mechanism validation and verification standards for activities (VVS-P) and programmes of activities (VVS-PoA).			<input type="checkbox"/> Yes <input type="checkbox"/> No

3.8. Element 11: Cultural heritage

15. This element and its criteria are described in subsection 6.4.8 of Section 6: Environmental and Social Safeguards of the A6.4 SD Tool.

Table 6313. Guiding questions for the risk assessment on cultural heritage

Element 11 Cultural heritage		Risk assessment	
ELQ11a	Does the A6.4 activity involve altering, damaging, or removing sites, objects, or structures of significant cultural heritage? If yes or potentially, please respond to additional guiding questions AGQ11.1, AGQ11.2-1, AGQ11.2-2 and AGQ11.2-3.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
ELQ11b	Does the A6.4 activity involve the use or partial use of sites, objects, or structures of significant cultural heritage? If yes or potentially, please respond to additional guiding	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 11 Cultural heritage		Risk assessment	
	questions related to AGQ11.3-1, AGQ11.3-2, AGQ11.3-3, AGQ11.3-4 and AGQ11.3-5.		
Additional guiding question:			
AGQ 11.1	Would the A6.4 activity lead to the alteration, damage, or removal of any sites, objects, or structures of critical cultural heritage?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 11.2-1	Would the A6.4 activity lead to significant excavations, demolitions, earth movement, flooding, or other environmental changes?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 11.2-2	Would the A6.4 activity lead to alterations to landscapes and natural features with cultural significance?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 11.2-3	<p>Would the A6.4 activity lead to adverse impacts on sites, structures, or objects with historical, cultural, artistic, traditional, or religious values, or on intangible forms of culture (e.g., knowledge, innovations, practices)?</p> <p>Note: Activities intended to protect and conserve cultural heritage may also have inadvertent adverse impacts.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 11.3-1	<p>Would the A6.4 activity involve the utilization of tangible and/or intangible forms (e.g., practices, traditional knowledge) of cultural heritage for commercial or other purposes?</p> <p>If the answer to the question above is yes or potentially, are the communities made aware of their rights under the law, the scope</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Element 11 Cultural heritage		Risk assessment	
	and nature of the proposed development, and its potential consequences?		
AGQ 11.3-2	Would the A6.4 activity involve a risk of not providing equitable sharing of benefits from the commercialization of such knowledge, innovations, or practices in a way that is consistent with their customs and traditions?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 11.3-3	Would the A6.4 activity maintain its original activity design without changes, modifications, or updates that consider the opinions and recommendations of competent professionals recognized by the host party-government?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 11.3-4	Would the A6.4 activity involve the involuntary relocation of people? If yes, please complete the resettlement section under Element 5.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 11.3-5	Would the A6.4 activity involve identifying and managing legitimate tenure rights that may be affected by the activity? If yes, please complete the land acquisition section under Element 5.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Conclusion of the risk assessment on Element 11 (Cultural heritage): If the answer to any of the additional guiding questions above is either “Yes” or “Potentially”, the conclusion of the risk assessment is accordingly either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under the specific element’s criteria in the A6.4-FORM-AC-016.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
In-meeting	6 October 2024	In-meeting document, 6 October 2024 @10:30
In-meeting	5 October 2024	In-meeting document, 5 October 2024 @17:15
09.0	20 September 2024	SBM 014, Annex 7. This clean revised version takes into account additional work on the draft tool conducted in consultation with an informal working group between the thirteenth meeting and the fourteenth meetings.
08.0	18 July 2024	SBM 013, Annex 5. This clean version includes guidance from Supervisory Body at SBM 013 and will serve as a draft document for the SD Tool informal working group to continue developing until SBM 014.
07.0	1 July 2024	Published as an annex to the annotated agenda of SBM 013. This version takes into account guidance provided by the Supervisory Body at SB 011 (SB 011 meeting report, paragraphs 20–22), input provided by stakeholders to a call for public (3–17 May 2024), as well as input from the SBM informal working group.
05.0	15 April 2024	Published as an annex to the annotated agenda of SB 011. This version takes into account guidance provided by the Supervisory Body at SBM 010 (SBM 010 meeting report, paragraphs 29-30).
04.0	20 February 2024	Substantive changes made to Appendix 1: paragraph 20, tables 5 and 13 and sub-heading 8.1.7, in addition to several editorial improvements throughout the document.
03.0	13 February 2024	Published as an annex to the annotated agenda of SB 010. Takes into account input provided by stakeholders to a call for public input (3 Nov. – 1 Dec. 2023) .
02.0	2 November 2023	Published as an annex to the meeting report of SB 008. This version takes into account the guidance provided by the Supervisory Body at SB 008 (SB 008 meeting report, paragraph 18) and will be published for a call for inputs.
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