

Name of submitter: Florence Laloe

Affiliated organization of the submitter (if any): Conservation International

Contact email of submitter: flaloe@conservation.org

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Legend for Columns

- 1 = Section Number in the document or Appendix
- 2= Paragraph, table or figure number
- 3 = Nature of input is general, technical or editorial
- 4 = Comment – the actual feedback or observation, including justification for what needs changing
- 5 = Proposed change – suggest the text if possible
- 6 = Assessment of comment – secretariat to document response/action taken to comment

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Section no.	Para., table or figure no.	Type of input G = general T = technical E = editorial	Comment	Proposed change (Include proposed text)	Assessment of comment (Completed by secretariat)
2.1	Add 6	G	<p>There is insufficient detail about the standard purpose, procedures, and core concepts. The purpose of footnotes citing Safeguard Policies of other institutions is unclear: should the user refer to that standard for the procedural detail?</p> <p>The SD Tool should make explicit reference to complete E&S Standards that should be used to assess and manage risk. Guiding questions for do no harm risk assessment is a risk screening tool. As such, it should include questions about contextual risks.</p>	N/A	

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2.2	6	G	<p>The SD Tool lacks an aggregate risk rating procedure, which undermines the good practice principle of designing mitigation actions that are proportionate to risk. Many of the cited Safeguard Policies are grounded in this fundamental decision.</p> <p>The SD Tool is unclear regarding the requirements for E&S assessment and management plans that flow from the risk screening decisions. The A6.4 Environmental and Social Management Plan is referenced. However, clarification is needed about how risk screening leads to formal safeguard and gender plans.</p>	<p>The use of the A6.4 SD tool is mandatory for the transition of CDM activities to the Article 6.4 mechanism and for the proposed Article 6.4 activities to identify, evaluate potential risks and adverse outcomes, [adopt mitigation measures] and demonstrate their impacts on sustainable development. The A6.4 SD tool provides:</p> <p>(a) Environmental and social safeguards principles, criteria, [risk] assessment requirements, [and actions plans for mitigation of risks and impacts.]</p>	

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4	9 Include n), o), p), q), r)	T	The definitions are incomplete.	<p>[n) Indirect impact: impacts that do not result directly from the activity in reference, often originated by other stakeholders (eg. Suppliers), in a more distant location and different time.</p> <p>o) Cumulative impact: Cumulative impacts are limited to those impacts generally recognized as important on the basis of scientific concerns and/or concerns from Affected Communities. Examples of cumulative impacts include: incremental contribution of gaseous emissions to an airshed; reduction of water flows in a watershed due to multiple withdrawals; increases in sediment loads to a watershed; interference with migratory routes or wildlife movement; or more traffic congestion and accidents due to increases in vehicular traffic on community roadways¹.</p> <p>p) Vulnerable and disadvantaged groups; Groups who may be differentially or disproportionately affected by a project because of their disadvantaged or vulnerable status. They may be more likely to be adversely affected by negative project impacts, or face barriers in accessing project benefits. They may also face limitations on their ability to participate in project consultation processes. Their disadvantaged or vulnerable status may stem from individuals' or groups' gender or sexual orientation, race, age, religion, literacy, disability, poverty, or other factors. Disadvantage or vulnerability is highly context- and culture specific and should be assessed in relation to how a project may affect or involve different groups².</p> <p>q) Good faith negotiation: negotiation based on an open and honest intention.</p> <p>r) Contextual risks: external risks outside the control of the activity participant, such as political, cultural, economical environment, which can affect the operation/activity.]</p>	

¹ International Finance Corporation's Guidance Notes: Performance Standards on Environmental and Social Sustainability, 2012.

² IDB Invest, Implementation Manual – Environmental and Social Sustainability Policy, 2020;

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5	11	G	The environmental and social assessments and plans should also be reflected in internal safeguards plans from the activity participant. This will reinforce that they are formalized in the operations and the activity's implementation.	In addition to the requirements of the Validation and Verification Standard, Activity Cycle Procedure and Activity Standard listed in section 3 related to compliance with legal and regulatory requirements of the host country, activity participants are required to document in the activity form [project design document (PDD)] [and through all safeguards plans] , that their proposed activities do not cause any environmental and/or social harm by completing A6.4 Environmental and Social safeguards risk assessment form and the Environmental and Social Management Monitoring Plan for addressing environmental and/or social risks identified in A6.4 Environmental and Social safeguards risk assessment form. While an activity is expected to comply with host country regulations applicable to the proposed activity, the outcome of the assessment of environmental and social safeguards (Do-No-Harm Risk Assessment and A6.4 Environmental and Social Management Plan) shall be shared at the local stakeholder consultation.	
5.2	41 Add P3.4	T	This section is incomplete, we recommend adding an additional principle.	[P 3.4) The activity does not lead to a net reduction, but preferably a net gain in the global and/or national/regional population³ of any Critically Endangered or Endangered species over a reasonable period of time⁴;	

³ Net reduction is a singular or cumulative loss of individuals that impacts on the species' ability to persist at the global and/or regional/national scales for many generations or over a long period of time. The scale (i.e., global and/or regional/national) of the potential net reduction is determined based on the species' listing on

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5.2.3	Table 7	G	A yes or no type of questionnaire do not allow a proper risk assessment.	[Has the proposed activity risks in] in direct, indirect and cumulative activity-related impacts on habitats and the biodiversity they support, including threats to biodiversity (e.g. habitat loss, degradation and fragmentation, invasive alien species), overexploitation, hydrological changes, nutrient-loading, pollution and incidental take, as well as projected climate change impacts? [Yes Potentially No N/A]	
5.3	43 Add P4.7	T	We recommend an additional question to reinforce understanding of the human rights framework.	[P.4.7 Do activity participants understand their human rights?]	

either the (global) IUCN Red List and/or on regional/national lists. For species listed on both the (global) IUCN Red List and the national/regional lists, the net reduction will be based on the national/regional population.

⁴ The timeframe in which Project Team must demonstrate “no net reduction” of Critically Endangered and Endangered species will be determined on a case-by-case basis in consultation with external experts.

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5.3.1	Table 8	T	Questions on human rights cannot be answered adequately with a yes /no answer without explanation.	<p>[Has the activity risks to the enjoyment of the human rights] (civil, political, economic, social, or cultural) of the affected population and particularly of marginalized groups? [Yes Potentially No N/A]</p> <p>[Has the activity risks to 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, [due to contextual risks and/or existing/lack of internal policies and practices? Yes Potentially No N/A]</p> <p>[Has the activity risks to] cause restrictions in the availability of, quality of and/or access to resources or basic services, in particular for marginalized individuals or groups, including persons with disabilities [due to contextual risks and/or existing/lack of specific internal policies and practices? Yes Potentially No N/A]</p>	

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5.3	43 P4.6	T	The question includes economic displacement but does not define the concept or the method for how this would be determined.	Include footnote: [Economic displacement: loss of assets and/or means of livelihood, regardless of whether or not the affected people are physically displaced due to land acquisition or restrictions on land use⁵.]	
5.3.2	44	G	More guidance is needed, especially it requires concept definitions and guidance on worker categories, also citing compliance with the ILO Core Labor Standards.	N/A	
5.3.3	Table 10	T	This section is incomplete, we recommend adding guiding questions.	Add two additional questions: <ul style="list-style-type: none"> • [Will the project operate in a conflict or post-conflict context, including the prevalence of crime, threats and security incidents that have occurred in recent months/years? • Does the project involve support to rangers, eco-guards, or community patrols with law enforcement responsibilities, including use of force?] 	

⁵ International Finance Corporation's Performance Standards on Environmental and Social Sustainability, 2012.

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5.3.4	Add P.7.3	T	This section is incomplete, we recommend adding an additional principle.	<p>To mainstream gender across activity design, implementation and monitoring using an intersectional gender-responsive approach that:</p> <ul style="list-style-type: none"> a) Assesses and documents gender issues (adverse risks, opportunities, considerations) that are relevant to the activity through a gender analysis or assessment. b) Designs or adapts specific activities to address potential risks, build on opportunities, and close project-relevant gender gaps through a gender action plan, [including action plans to address Gender-based Violence and Harassment GBVH; enhance women’s participation and influence in natural resource decision making (with specific focus on IP&LC women), generate socio-economic benefits and services for women (with specific focus on IP&LC women).] c) Influences staffing, budgeting, and M&E systems to ensure the gender action plan is effectively implemented and mainstreamed into the activity. d) Provides opportunities for diverse women and men to participate, make decisions, and receive benefits related to the activity actively and safely. 	Ased
5.3.4	Add P.7.4	T	This section is incomplete, we recommend adding an additional principle.	[P.7.4 When national laws are silent on gender equality, or less robust, the project will meet this policy.]	

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5.3.5	55	T	This section is incomplete, we recommend adding economic displacement, according to international best practices and safeguards frameworks.	P8.1: The activity shall either not involve or support involuntary relocation and/or displacement of people [and/or economic displacement.]	
5.3.5	56	T	This section is incomplete, we recommend adding economic displacement, according to international best practices and safeguards frameworks.	P8.2: The activity shall mitigate displacement impacts and risks of the displaced persons and host communities when physical displacement (i.e. relocation or loss of shelter) [and/or economic displacement (i.e loss of assets)] cannot be avoided.	
5.3.5	57	T	This section is incomplete, we recommend adding economic displacement, according to international best practices and safeguards frameworks. Moreover, the livelihood action plan should be focused on <u>restoring livelihoods</u> as per best international best practices.	P8.3: A resettlement action plan and/or livelihood [restoration] action plan shall be integrated into the activity documentation where physical [and/or economic displacement] is involved. (...)	
5.3.5	58	T	This section is incomplete, we recommend adding economic displacement, according to international best practices and safeguards frameworks.	5P8.4: Expert stakeholders’ opinions and recommendations shall be sought and demonstrated as being included in the activity design where physical [and/or economic] displacement is involved.	

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5.3.5	Add 59	T	This section is incomplete, we recommend adding an additional criterion.	Add criterion: [All forms of resettlement or displacement will require process guarantees that acknowledge the asymmetrical power differences between project proponent and affected communities and provide for good faith negotiated agreements as a core mitigation measure. In preparation for the negotiation of agreements on restriction of access to resources and/or resettlement, the Process Framework should include detailed description of means by which a good-faith negotiation with affected peoples will lead to a comprehensive agreement covering all benefits and costs, as well as roles and responsibilities and the arrangements for implementing and monitoring these processes.]	

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5.3.6	64	T	Good faith is essential to ensure a proper FPIC process.	64. P9.5: The activity participant shall respect, protect and conserve and shall not take the cultural, intellectual, religious and/or spiritual property of Indigenous Peoples without their free, prior and informed consent (FPIC).44 FPIC must be obtained when there are impacts on (i) the territory; (ii) natural resources that ethnic groups use; (iii) cultural heritage; or (iv) places containing sacred elements of special value for the community. It must be documented both within the process as well as in the agreements reached in the dialogue free, prior and informed consent (FPIC).44 FPIC must be obtained when there are impacts on (i) the territory; (ii) natural resources that ethnic groups use; (iii) cultural heritage; or (iv) places containing sacred elements of special value for the community. It must be documented both within the process as well as in the agreements reached in the dialogue [and consultations and ultimately through good faith negotiations with the community.]	

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5.3.6	65	T	Good faith is essential to ensure a proper FPIC process.	65. P9.6: The activity participant shall ensure that Indigenous Peoples are provided with the equitable sharing of benefits to be derived from utilization and/or commercial development of natural resources on lands and territories or the use of their traditional knowledge and practices by the activity. This shall be done [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.	

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5.3.6	60	T	Additional elements are required in this section so activity participants are aware of which criterion and definition they should follow under the SD Tool.	<p>P9.1: Activity participants shall identify all communities of Indigenous People within the activity area of influence who may be affected by the activity.</p> <p>[There is no universally accepted definition of “Indigenous Peoples.” Indigenous Peoples may be referred to in different countries by such terms as “Indigenous ethnic minorities,” “aboriginals,” “hill tribes,” “minority nationalities,” “scheduled tribes,” “first nations,” or “tribal groups.” The term “Indigenous Peoples” here is used in a ‘generic’ sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees:</p> <ul style="list-style-type: none"> ♣ Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others. ♣ Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories. ♣ Customary cultural, economic, social, or political institutions that are separate from those of the mainstream society or culture; or ♣ A distinct language or dialect, often different from the official language or languages of the country or region in which they reside.”⁶.] 	

⁶ International Finance Corporation’s Performance Standards on Environmental and Social Sustainability, 2012.

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5.3.6	Table 13	T	Often, the lack of proper social assessments lead to Indigenous Peoples not being fully identified in the area of influence of the activity and therefore, not included in the FPIC process.	[Has a social assessment been performed to evaluate the presence and/or involvement of Indigenous Peoples] within the activity area of influence who may be affected directly or indirectly by the activity?	
5.3.6	Table 13	T	Good faith is essential to ensure a proper FPIC process.	Does the activity ensure that the Indigenous Peoples receive an equitable sharing of benefits resulting from [a good faith negotiated agreement that respects, protects and honors the appropriate] use of their traditional knowledge and practices?	
5.3.6	Table 13	T	Good faith is essential to ensure a proper FPIC process.	- Does the activity ensure 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?	
5.3.6	Table 13	T	The benefit sharing must be formalized.	- Does the activity ensure that the [agreement provisions regarding] equitable sharing of benefits 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?	

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5.3.8	Table 15	T	Good faith is essential to ensure a proper FPIC process.	P11. 4: Where an activity proposes to utilize cultural heritage, including the knowledge, innovations, or practices of local communities, affected communities shall be informed of their rights under applicable law [including the right to FPIC and to reach a good faith negotiated agreement regarding] the scope and nature of the proposed commercial development, the potential consequences of such development, [and a fair distribution of benefits resulting from the development].	
5.3.8	Table 15	T	Good faith is essential to ensure a proper FPIC process.	P11.4 Does the activity provide [for a process of FPIC and/or a good faith negotiated agreement that determines] equitable sharing of benefits from the commercialization of such knowledge, innovations, or practices in a way that is consistent with their customs and traditions?	