

**A6.4-SB008-A10**

## Draft Tool

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# Article 6.4 sustainable development tool

Version 02.0

DRAFT

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## 1 Introduction

1. The Supervisory Body of the mechanism established by Article 6, paragraph 4, of the Paris Agreement (the Article 6.4 mechanism), at its X<sup>th</sup> meeting, approved the Article 6.4 sustainable development tool (A6.4 SD tool).

## 2 Scope, applicability and entry into force

### 2.1 Scope

2. The Article 6.4 sustainable development tool (hereinafter referred to as the A6.4 SD Tool) provides a step-wise approach for activity participants to assess, demonstrate and monitor potential negative environmental and social impacts and potential positive and negative contributions to the Sustainable Development, by Article 6.4 Activities and/or A6.4 PoA (hereafter “activity” or “activities” refers to activity, Article 6.4 Activities and/or A6.4 PoA).
3. The A6.4 SD tool requires an activity participant to identify and evaluate potential risks and adverse outcomes of the proposed activities and to adopt mitigation strategies to avoid or, where avoidance is not possible, minimize identified risks to meet the requirements in the A6.4 SD tool. Furthermore, it requires an activity participant to identify and demonstrate potential positive and negative impacts on sustainable development for monitoring throughout its crediting period.
4. This tool is divided into sections:
  - (a) **Environmental and social safeguards:** These safeguards aim to identify, mitigate and minimize adverse environmental and social impacts that may arise during the implementation of an activity;
  - (b) **Sustainable development impact:** This section focuses on the assessment, demonstration, and monitoring of an activity’s impact to sustainable development.
5. The results of the assessment of the environmental and social safeguards and the evaluation of sustainable development impact must be shared during the local stakeholder consultation, in accordance with host Party rules and/or the Article 6.4 mechanism activity cycle procedures and the Article 6.4 mechanism activity standards.

### 2.2 Applicability

6. 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, and demonstrate their impacts on sustainable development. The A6.4 SD tool provides:
  - (a) Environmental and social safeguards principles, criteria, and assessment requirements;
  - (b) Guidance for identifying the sustainable development contribution of proposed activities;

- (c) Steps for determining the Sustainable Development Goals (SDGs)<sup>1</sup> impacted by the proposed activity, taking into consideration the host countries' sustainable development objectives;
- (d) Principles for establishing sustainable development monitoring indicators based on the SDGs and their targets.

## 2.3 Entry into force

- 7. Version 01.0 of the A.6.4 SD tool enters into force on DD Month YYYY.

## 3 Normative references

- 8. The following referenced documents are indispensable for the application of this tool:
  - (a) United Nations 17 Sustainable Development Goals (17 SDGs)<sup>2</sup>;
  - (b) Article 6.4 mechanism activity standard for activities (ACP-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) Article 6.4 appeal and grievance processes under the Article 6.4 mechanism

## 4 Definitions

- 9. In addition to the definitions found in the "Glossary: Article 6.4 mechanism terms", the following terms are applicable in this procedure:
  - (a) Sustainable Development Goals (SDGs): 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, peace and justice, among other priorities;
  - (b) Activity-level SD indicators: These are activity-specific indicators aligned with the UN Sustainable Development Goals, used to monitor the Sustainable Development (SD) contribution of an Art 6.4 activity, and sustainable development objectives, as defined by a host party, that are required to be specified in the "A6.4 sustainable development form". Examples of activity-level SD indicators for a cookstove distribution activity may include:

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<sup>1</sup> Available at: <https://www.un.org/sustainabledevelopment/blog/2015/09/historic-new-sustainable-development-agenda-unanimously-adopted-by-193-un-members/>.

<sup>2</sup> Available at: [https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework%20after%202023%20refinement\\_Eng.pdf](https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework%20after%202023%20refinement_Eng.pdf)

- (i) The number of improved cookstoves (ICS) distributed under the activity, serving as an indicator for providing basic service access to households under SDG 1, target 1.4;
  - (ii) The percentage of users reporting a reduction in smoke/PM after shifting to ICS within the activity, addressing SDG 3, target 3.9;
  - (iii) 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
  - (iv) The average percentage of fuel savings reported by users within the activity, pertaining to SDG 12 and its target 12.2;
- (c) Activity-level environmental and social indicators: activity specific indicators identified during “Do-No-Harm Risk Assessment” that are required to be defined in “A6.4 Environmental and Social Management Plan”. Examples of activity-level environmental and social indicators for afforestation or reforestation activity may include mitigation measures to compensate tenants for land and to relocate the lands to a different part of the concession;
- (d) Sustainable development objectives of a host country: sustainable development objectives or indicators defined by host countries;
- (e) A6.4 Environmental and Social Management Plan: a management tool that details the set of mitigation measures and monitoring to be taken during its entire crediting period to eliminate adverse unintended<sup>3</sup> environmental and social impacts, offset them, and/or reduce them to acceptable levels as per host country regulations applicable to the proposed activity;
- (f) Direct impact: an impact which is based on direct contribution/interaction by an activity with an environmental, social or economic component during the crediting period;
- (g) Cultural heritage:<sup>4</sup> artefacts, monuments, a group of buildings and sites and/or museums that have a diversity of values, including symbolic, historic, artistic, aesthetic, ethnological or anthropological, scientific and social significance. It includes tangible heritage (movable, immobile and underwater), intangible cultural heritage (ICH) embedded into cultural, and natural heritage artefacts, sites or monuments. The definition excludes ICH related to other cultural domains, such as festivals, celebrations, etc.;
- (h) Indigenous People:<sup>5</sup> inheritors and practitioners of unique cultures and ways of relating to people and the environment. They have retained social, cultural, economic and political characteristics that are distinct from those of the dominant societies in which they live;

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<sup>3</sup> Not intentional; happening unexpectedly or by accident. Source: [Cambridge Dictionary](#)

<sup>4</sup> <https://uis.unesco.org/en/glossary-term/cultural-heritage>.

<sup>5</sup> <https://www.un.org/development/desa/indigenouspeoples/about-us.html#:~:text=%E2%80%9CIndigenous%20communities%2C%20peoples%20and%20nations%20are%20those%20which%2C%20having,territories%2C%20or%20parts%20of%20them>.

- (i) Gender equality:<sup>6</sup> is required to work for the elimination of discrimination against women and girls; empowerment of women; and achievement of equality between women and men as partners and beneficiaries of development, human rights, humanitarian action, and peace and security;
- (j) Child labour: work that is inappropriate for a child's age, affects children's education, or is likely to harm either their health, safety or morals;
- (k) Generic assessments: conclusion provided by the activity participant in regard to the proposed activity alignment with host country regulatory requirements applicable to the proposed activity for transparency purposes;
- (l) Host country regulations: whether any regulatory requirements are applicable to the proposed activity established by the host country.
- (m) Stakeholders: The public, including individuals, groups or communities affected, or likely to be affected, by the proposed Art 6.4 activity or PoA, or actions leading to the implementation of such an activity.

## 5 Environmental and social safeguards

10. The implementation and operation of an activity may cause negative social and environmental impacts. Environmental and social safeguards help an activity developer to identify, evaluate, prevent and mitigate unintended negative environmental and social impacts and risks produced by an activity in its environment during implementation and operation.
11. 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)] 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.
12. [If a proposed activity falls under the category of REDD+ according to paragraph 71 of decision 1/CP.16, the activity participant shall follow the safeguards referred to in paragraph 2 of appendix I of decision 1/CP.16 and, when applicable, the safeguards guidelines submitted by Parties (available on the [UNFCCC REDD+ WEB Platform](#))].
13. This section provides the process for activity participants to assess potential negative social and environmental impacts, which may be caused by their activity, against the environmental and social safeguard principles/criteria:

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<sup>6</sup> <https://www.un.org/youthenvoy/2013/07/un-women-the-united-nations-entity-for-gender-equality-and-the-empowerment-of-women/#:~:text=elimination%20of%20discrimination%20against%20women,action%20and%20peace%20and%20security>.

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- (a) The activity participant shall conduct Do-No-Harm Risk Assessment to identify possible negative environmental and social impacts<sup>7</sup> from the construction and operation and decommissioning, if applicable, of the activity against eleven principles under the environmental safeguards and the social safeguards defined in section 5.1 and 5.2 below using the A6.4 Environmental and Social safeguards risk assessment form by answering the principle level question(s) under guiding question tables of each principles in section 5.1 and 5.2. These eleven principles are common principles observed from other international financial institutions, other UN agencies and voluntary carbon market systems<sup>8,9,10,11,12,13,14,15</sup>;
- (b) If an activity participant identifies that its activity has an impact on principles under the environmental and social safeguards, the activity participant shall conduct further assessment against principles according to the host country legal/regulatory requirements applicable to the proposed activity type. If host country does not have legal/regulatory requirements on one of eleven principles, the activity participant may apply the criteria and guiding questions of the principles that are identified by an activity in step (a) above using the A6.4 Environmental and Social safeguards risk assessment form:
- (i) The assessment shall compare the activity scenario to the baseline scenario(s);
- (ii) The assessment shall consider the following safeguard principles and criteria defined in the section 5.2 and 5.3 below. The activity participant may determine the severity level based on possible responses to the individual criteria and guiding questions;
- (iii) The activity participant is requested to provide the level of severity to as part of the do-no-harm risk assessment, for each identified principle;

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<sup>7</sup> Environmental and social categories that can be negatively impacted are sourced from the clean development mechanism sustainable development tool, available at <https://www4.unfccc.int/sites/sdcmicrosite/Pages/SD-Reports.aspx> and the Inter-American Development Bank (IADB) environmental and social policy framework, available at <https://www.iadb.org/en/mpas>.

<sup>8</sup> Gold Standard (2023) Safeguard Principles & Requirements. Available at: [https://globalgoals.goldstandard.org/standards/103\\_V2.0\\_TC\\_PAR\\_Safeguarding-Principles-Requirements.pdf](https://globalgoals.goldstandard.org/standards/103_V2.0_TC_PAR_Safeguarding-Principles-Requirements.pdf)

<sup>9</sup> GCF (2023). Environmental and social safeguards. <https://www.greenclimate.fund/activity/sustainability-inclusion/ess>

<sup>10</sup> UNEP (2020). UNEP environmental, social and sustainability framework. Available at: <https://www.unep.org/resources/report/un-environments-environmental-social-and-economic-sustainability-framework>

<sup>11</sup> World Bank (2016). Environmental and Social Framework (ESF). Available at: <https://www.worldbank.org/en/activity-operations/environmental-and-social-policies>

<sup>12</sup> FAO (2022). Framework for Environmental and Social Management. Available at: <https://www.fao.org/3/cb9870en/cb9870en.pdf>

<sup>13</sup> GCC (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](https://www.globalcarboncouncil.com/wp-content/uploads/2022/09/Environment-and-Social-Safeguards-Standard.V3.0-1_.pdf)

<sup>14</sup> IADB (2020). Environmental and Social Policy Framework. Available at: <https://blogs.iadb.org/sostenibilidad/en/esp-environmental-and-social-policy-framework-in-a-nutshell/>

<sup>15</sup> WWF (n.d.). Environmental and Social Safeguards (ESS). Available at: <http://assets.worldwildlife.org/publications/844/files/original/SafeguardsonepagerFINAL.pdf>

- (iv) The principles' severity level is classified as per table 1:<sup>16</sup>

**Table 1. Possible responses in the do-no-harm risk assessment**

| Response           | Description  | Guidance  |
|--------------------|--|---|
| <b>Yes</b>         | If negative impacts exist for certain principles or if the activity, during its operations, fails to meet the national legal/regulatory requirements or is likely to fail in meeting the legal/regulatory requirements, they will be marked as "yes" as they are likely to cause harm (and may be unsafe). | All negative impacts shall be included in the environmental and social management plan. In case of lack of legal/regulatory requirements, the activity participant may take industry best practices or voluntary corporate policies of the organization to assess if the aspects are harmful. |
| <b>Potentially</b> | This means that the risk or expected issue may be relevant at some point in the activity's cycle, but is not necessarily relevant now and/or may never arise.  | The requirements apply but the activity may justify with evidence why these requirements do not need to be demonstrated as being met. The activity shall update information on any assessment questions answered with 'potentially' for each monitoring report.                               |
| <b>No</b>          | This means that the risk or expected issue is not relevant to the activity.  | Justification shall be provided to support this conclusion, with evidence provided where required.  |
| <b>NA</b>          | This means that the question is not relevant to the activity and its potential impact.   | No action is needed.  |

- (c) Based on the outcome of the do no harm risk assessment, the activity participant shall develop A6.4 Environmental and Social Management Plan in order to reduce and address identified/potential negative impacts. It will define and provide:
- (i) Desired outcomes and actions to address and mitigate potential negative environmental and social impacts in the do-no-harm risk assessment process;
  - (ii) Monitoring parameters and acceptance criteria that can be tracked over activity crediting periods, and with estimates of the resources and responsibilities for implementation, to demonstrate that the impacts do not cause harm to the environment or society;
  - (iii) Indicators that can be used to monitor environmental and social aspects in the A6.4 Environmental and Social Management Plan may be quantitative or qualitative in nature;
  - (iv) Safeguard communication channel maintained by activity participants to offer local stakeholders<sup>17</sup> an effective avenue for expressing concerns and achieving remedies and promote a mutually constructive relationship during

<sup>16</sup> Guiding questions may or may not include all possible response options due to the nature of the questions and expected response.

<sup>17</sup> Local Stakeholders: The public, including individuals, groups or communities affected, or likely to be affected, by the proposed Art 6.4 activity or PoA, or actions leading to the implementation of such an activity.

the activity crediting period. Such process shall be established as part of the process for continuous engagement of local stakeholders in accordance with the “Article 6.4 activity standard for projects” or the “Article 6.4 activity standard for programmes of activities;

- (d) Activity participants are required to propose measures and actions to address identified/potential negative impacts in accordance with the host country regulatory requirements applicable to the proposed activity;
- (e) A6.4 Environmental and Social Management Plan shall be validated by a designated operational entity (DOE) during registration, and the outcome of monitoring for a monitoring period as per A6.4 Environmental and Social Management Plan, including any records of a safeguard communication channel, shall be verified by a DOE.

## 5.1 Environmental and social safeguards principles

14. The environmental and social safeguards principles are shown in table 2 below. The definition of each principle and relevant criteria are introduced in section 5.2 below.

**Table 2. Environmental and social safeguards principles** <sup>18,19,20,21</sup>

| Safeguard principles |              |   |
|----------------------|--------------|---|
| <b>Environmental</b> | Principle 1  | Climate and Energy                            |
|                      | Principle 2  | Air, land and water                           |
|                      | Principle 3  | Ecology and natural resources                 |
| <b>Social</b>        | Principle 4  | Human rights                                  |
|                      | Principle 5  | Labour  |
|                      | Principle 6  | Health and safety                             |
|                      | Principle 7  | Gender equality                               |
|                      | Principle 8  | Land acquisition and involuntary resettlement |
|                      | Principle 9  | Indigenous People                             |
|                      | Principle 10 | Corruption                                    |
|                      | Principle 11 | Cultural heritage                             |

## 5.2 Environmental safeguards principles and criteria

### 5.2.1 Principle 1: Climate and energy

15. Principle 1 stipulates that any proposed activity shall not increase greenhouse gas (GHG) emissions over the baseline scenarios (unless this is specifically allowed by the applied/approved Article 6.4 methodology). Activities shall also not affect the availability and reliability of the energy supply to other users.<sup>22</sup>

<sup>18</sup> Gold Standard (2023). Safeguarding Principles & Requirements.

<sup>19</sup> Global Carbon Council (GCC) (2022). Environmental and Social Safeguards Standards (ver. 3.0). Available at: [https://www.globalcarboncouncil.com/wp-content/uploads/2022/09/Environment-and-Social-Safeguards-Standard.V3.0-1\\_.pdf](https://www.globalcarboncouncil.com/wp-content/uploads/2022/09/Environment-and-Social-Safeguards-Standard.V3.0-1_.pdf).

<sup>20</sup> World Bank (n.a.) Environmental and Social Standards (ESS). Available at: <https://projects.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-standards>.

<sup>21</sup> IADB (2020). Environmental and Social Policy Framework. Environmental and Social Performance Standard 4: Community Health, Safety, and Security. Available at: <https://blogs.iadb.org/sostenibilidad/en/espf-environmental-and-social-policy-framework-in-a-nutshell/>.

<sup>22</sup> Gold Standard (2023) Safeguarding Principles & Requirements.

**Principle 1 (Climate and energy) criteria:**

16. P1.1: Climate: Activity shall not increase GHG emissions over the baseline scenario unless this is specifically allowed within the activity-applicable approved methodology.
17. P1.2: Energy: Activity shall not affect the availability and reliability of the energy supply to other users.

**Table 3. Guiding questions for the do-no-harm risk assessment on climate and energy**

| <b>P 1 Climate and energy (Climate)</b>  |  |   | <b>Host country regulations</b> | <b>Generic risk assessments</b>   |
|--|--|---|---------------------------------|---|
| <b>Principle level question</b>  | Does the activity have a risk of increasing greenhouse gas (GHG) emissions over the baseline scenario?                           | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b>  |                                 |   |
| <b>Additional guiding question:</b>  |  |   |                                 |   |
| <b>P1.1</b>  | If yes above, is the increase of GHG emissions in compliance with Article 6.4 approved applied methodology?                      | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>   |                                 |   |
| <b>P 1 Climate and energy (Energy)</b>   |  |   | <b>Host country regulations</b> | <b>Generic risk assessments</b>   |
| <b>P1.2 Principle level question</b>   | Does the activity pose a risk to the availability and reliability of the energy supply to other users?                           | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |   |
| <b>Additional guiding question</b>   |  |   |                                 |   |
| <b>P1.2</b>  | Does the activity result in or lead to negative impacts on the availability and reliability of the energy supply to other users? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |   |
| <b>Conclusion of the do-no-harm risk assessment on principle 1 (Climate and energy):</b> |  |   |                                 | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

**5.2.2 Principle 2: Air, land and water<sup>23</sup>**

18. Principle 2 refers to hazardous and/or non-hazardous pollutants in the solid, liquid or gaseous phases, and includes other components such as thermal discharge to water, emissions of short-lived and long-lived climate pollutants, plastics, biomedical waste,

<sup>23</sup> GCC (2022). Environmental and Social Safeguards Standards (ver. 3.0). Available at: [https://www.globalcarboncouncil.com/wp-content/uploads/2022/09/Environment-and-Social-Safeguards-Standard.V3.0-1\\_.pdf](https://www.globalcarboncouncil.com/wp-content/uploads/2022/09/Environment-and-Social-Safeguards-Standard.V3.0-1_.pdf).

nuisance odours, noise, vibration, radiation, electromagnetic energy, water consumption and water discharge, and the creation of potential visual impacts, including light.<sup>24</sup>

**Principle 2 (Air, land and water) criteria:**

**P2.1 Air**

19. P2.1: The activity participant shall avoid the release of pollutants or, when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release in accordance with host country regulations. This applies to the release of pollutants due to routine, non-routine, and accidental circumstances with the potential for local, regional and transboundary impacts.
20. P2.1: Where historical pollution such as air contamination exists, the activity participant shall seek to determine whether it is responsible for mitigation measures. If it is determined that the activity participant is legally responsible, then these liabilities will be resolved in accordance with national law, or where this is silent, in coordination with national and local government agencies, communities, and the contributors to the contamination. Activity participants can use historical records, ongoing monitoring, and reporting through data logging of physical measurements, online sources and government data.

**Table 4. Guiding questions for the do-no-harm risk assessment on air**

| <b>P2 Air</b>   |  | <b>Host country regulations</b>   | <b>Generic risk assessment</b> |
|---|--|---|--------------------------------|
| <b>Principle level question</b>   | Would the proposed activity lead to the release of air pollutants due to routine and non-routine activities, with the potential for local, regional and transboundary impacts?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b>  |                                |
| <b>Additional guiding question:</b><br><b>If yes or potentially above, please complete the questions below.</b> |  |   |                                |
| <b>P2.1</b>   | Does the activity avoid the release of pollutants, or when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release in accordance with host country regulations? This applies to the release of pollutants due to routine, non-routine and accidental circumstances with the potential for local, regional and transboundary impacts. | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                |
| <b>P2.1</b>   | Does the activity have a risk of releasing pollutants into the air in routine, non-  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b>  |                                |

<sup>24</sup> World Bank (n.a.). Environmental and Social Standards (ESS). ESS3: Resource Efficiency and Pollution Prevention and Management. Available at: <https://documents1.worldbank.org/curated/en/112401530216856982/ESF-Guidance-Note-3-Resource-Efficiency-and-Pollution-Prevention-and-Management-English.pdf>.

|   |  |   |  |   |
|---|--|---|--|---|
|   | routine, or accidental circumstances?  | <input type="checkbox"/> <b>N/A</b>   |  |   |
| <b>P2.1</b>   | Does the activity involve or lead to any potential risk of pollutant release that cannot be avoided? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>Conclusion of the do-no-harm risk assessment on principle 2 (Air, land and water) – Air:</b> |  |   |  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

**P2.2 Land**

21. P2.2: The activity participant shall avoid the release of pollutants or, when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release in accordance with host country regulations. This applies to the release of pollutants due to routine, non-routine and accidental circumstances with the potential for local, regional and transboundary impacts.
22. P2.2: Where historical pollution such as land contamination exists, the activity participant shall seek to determine whether it is responsible for mitigation measures. If it is determined that the activity participant is legally responsible, then these liabilities will be resolved in accordance with national law, or where this is silent, in coordination with national and local government agencies, communities, and the contributors to the contamination. Activity participants can use historical records, ongoing monitoring, and reporting through data logging of physical measurements, online sources and government data.
23. P2.2: The activity shall demonstrate that measures will be undertaken to ensure that surface and groundwaters are protected from erosion and that these measures are in place prior to the commencement of the activity.
24. P2.2: The activity shall demonstrate that measures to ensure soil protection and minimized erosion are in place prior to the commencement of the activity.
25. P2.2: The activity shall identify the functions and services provided by the landscape and demonstrate no net degradation of soil resources and loss of ecosystem services provided by soils.
26. P2.2: Activities that involve the production, harvesting and/or management of living natural resources by small-scale landholders and/or local communities shall adopt appropriate and culturally sensitive sustainable resource management practices.

**Table 5. Guiding questions for the do-no-harm risk assessment on land**

| <b>P2 Land</b>  |   | <b>Host country regulations</b>  | <b>Generic risk assessment</b> |
|---|---|--|--------------------------------|
| <b>Principle level question</b>   | Would the proposed activity lead to the release of land pollutants due to routine and non-routine activities, with the potential for local, regional and transboundary impacts? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b> |                                |
| <b>Additional guiding question:</b><br><b>If yes or potentially above, please complete the questions below.</b> |   |  |                                |

|  |  |   |  |   |
|--|--|---|--|---|
| <b>P2.2</b>  | Does the activity avoid the release of pollutants or, when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release in accordance with host country regulations? This applies to the release of pollutants due to routine, non-routine and accidental circumstances with the potential for local, regional and transboundary impacts. | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>P2.2</b>  | Does the activity have a risk of releasing pollutants to land in routine, non-routine or accidental circumstances?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>P2.2</b>  | Does the activity involve or lead to any potential risk of pollutant release that cannot be avoided?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>P2.2</b>  | Is the activity located in an area where historical pollution such as land contamination exists?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>Conclusion of the do-no-harm risk assessment on principle 2 (Air, land and water) – Land:</b> |  |   |  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

**P2.3: Water**

27. P2.3: The activity shall promote the sustainable and efficient use of water resources to avoid adverse impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes.
28. P2.3: The activity participant shall avoid the release of pollutant or, when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release in accordance with host country regulations. This applies to the release of pollutants due to routine, non-routine and accidental circumstances with the potential for local, regional and transboundary impacts.<sup>25</sup>
29. P2.3: When the proposed activity is a potentially significant consumer of water, in addition to applying the resource efficiency requirements of this principle, the activity participant shall adopt measures that avoid or reduce water usage so that the activity’s water consumption does not have significant adverse impacts on people and biodiversity. These measures include, but are not limited to, the use of additional, technically feasible water conservation measures, the use of alternative water supplies, the reuse of water, water consumption offsets to reduce total demand for water resources to within the available supply, and evaluation of alternative activity locations, as appropriate.

<sup>25</sup> Transboundary pollutants include those covered under the Convention on Long-Range Transboundary Air Pollution.

30. P.2.3: The activity participant shall implement technically and financially feasible and cost-effective<sup>26</sup> measures for improving efficiency in its consumption of water, with a focus on core areas of the proposed activity(ies).
31. P.2.3: The activity shall ensure that water resources covering surface water and ground water are conserved.

**Table 6. Guiding questions for the do-no-harm risk assessment on water**

| <b>P2 Water</b>  |  |   | <b>Host country regulations</b> | <b>Generic risk assessment</b> |
|--|--|---|---------------------------------|--------------------------------|
| <b>Principle level question</b>  | Does the proposed activity involve any activity that can result in adverse impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes?                      | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                |
| <b>Principle level question</b>  | Does the proposed activity involve water usage that can result in adverse impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes?                       | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                |
| <b>Additional guiding question:</b>                                      |  |   |                                 |                                |
| <b>If yes or potentially above, please complete the questions below.</b> |  |   |                                 |                                |
| <b>P2.3</b>  | Does the activity promote the sustainable and efficient use of water resources to avoid adverse impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                |
|  | Does the activity have a risk of releasing pollutants to air, water, and land in routine, non-routine or accidental circumstances?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                |
| <b>P2.3</b>  | Does the activity involve or lead to any potential   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b>  |                                 |                                |

<sup>26</sup> Technical feasibility is based on whether the proposed measures and actions can be implemented with commercially available skills, equipment, and materials, taking into consideration prevailing local factors such as climate, geography, infrastructure, security, governance, capacity, and operational reliability. Financial feasibility is based on financial considerations, including relative magnitude of the incremental cost of adopting such measures and actions compared to the activity's investment, operating and maintenance costs.

|   |   |   |  |   |
|---|---|---|--|---|
|   | risk of pollutant release that cannot be avoided?   | <input type="checkbox"/> <i>N/A</i>   |  |   |
| <b>P2.3</b>   | Has the activity participant adopted measures that avoid or reduce water usage so that the activity's water consumption does not have significant adverse impacts on people and biodiversity? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>Conclusion of the do-no-harm risk assessment on principle 2 (Air, land and water) – Water:</b> |   |   |  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

### 5.2.3 Principle 3: Ecology and natural resources<sup>27</sup>

32. Principle 3 considers the direct, indirect and cumulative activity-related impacts on habitats and the biodiversity they support. It considers threats to biodiversity, for example, habitat loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient-loading, pollution and incidental take, as well as projected climate change impacts.

#### **Principle 3 (Ecology and natural resources) criteria:**

##### **P3.1 Natural resources**

33. P3.1: The activity shall ensure a precautionary approach to natural resource conservation, including soil, minerals and other depletable natural resources, and avoid negative environmental impacts.

##### **P3.2 Biodiversity**

34. P3.2: The activity shall ensure ecosystem functions are maintained to secure the benefits of ecosystem services.
35. P3.2: The activity shall protect and conserve terrestrial, freshwater, coastal and marine biodiversity.
36. P3.2: The activity shall maintain or enhance biodiversity and ecosystem functionality in areas where improved forest management is undertaken.
37. P3.2: The activity shall not lead to the reduction/negative impact of any recognized endangered, vulnerable or critically endangered species.
38. P3.2: Habitats of endangered species shall be specifically identified and managed to protect or enhance them.
39. P 3.2: The activity shall not introduce any alien species (not currently established in the country or region of the project) into new environments. The project shall implement measures to avoid the potential for accidental or unintended introductions, including the

<sup>27</sup> World Bank (n.a.) Environmental and Social Standards (ESS). ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources. Available at: <https://documents1.worldbank.org/curated/en/924371530217086973/ESF-Guidance-Note-6-Biodiversity-Conservation-English.pdf>.

transportation of substrates and vectors (such as soil, ballast and plant materials) that may harbour alien species.

40. P3.2: Where alien species are already established in the country or region of the proposed project, the activity developer shall exercise diligence in not spreading them into areas in which they have not already been established.

### **P3.3 Critical habitats<sup>28</sup>**

41. P3.3: An activity that potentially impacts habitats identified as critical habitats shall be implemented only when it meets the following three prerequisites: (1) The risk of the activity negatively impacting the catchment and risks impacting activity success shall be assessed and addressed to ensure its ongoing, long-term viability and impact on surrounding High Conservation Value<sup>29</sup> and ecological assets; (2) There is no measurable adverse impacts on the criteria or biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values; and (3) 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.

**Table 7. Guiding questions for the do-no-harm risk assessment on ecology and natural resources**

| <b>Principle 3 Ecology and natural resources</b> |  |   | <b>Host country regulations</b> | <b>Generic risk assessment</b> |
|--|--|---|---------------------------------|--------------------------------|
| <b>Principle level question</b>                  | Will the proposed activity result 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? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                 |                                |

<sup>28</sup> As per the IADB, 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.

<sup>29</sup> As per Gold Standard SAFEGUARDING PRINCIPLES & REQUIREMENTS, an HCV is a biological, ecological, social, or cultural value of outstanding significance or critical importance. High Conservation Value areas are critical areas in a landscape which need to be appropriately managed in order to maintain or enhance High Conservation Values (HCVs). The HCV areas includes both forest and non-forest ecosystems. (please Refer to Common Guidance for the identification of – HIGH CONSERVATION VALUES for further guidance on the interpretation of the HCV definitions and their identification in practice, to achieve standardization in use of the HCV approach. Also refer to Common Guidance for the Management and Monitoring of – HIGH CONSERVATION VALUES guidance on management and monitoring of HCVs, to be used as a companion to the identification guidance.

| <b>Additional guiding question:<br/>If yes above, please complete the questions below.</b>      |  |   |  |   |
|---|--|---|--|---|
| P3.1  | Does the activity consider the direct, indirect and cumulative activity-related impacts on habitats and the biodiversity they support?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| P3.2  | Does a proposed activity introduce any risk of loss of ecosystem services provided by soils?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| P3.2  | Does a proposed activity introduce any alien species into new environments?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| P3.2  | Does a proposed activity lead to the reduction or negative impact of any recognized endangered, vulnerable or critically endangered species?                                       | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| P3.2  | Does a proposed activity have a risk of unsustainable forest management, including timber harvesting?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| P3.2  | Does a proposed activity pose a risk of depleting biodiversity and ecosystem functionality in areas where improved forest management is undertaken?                                | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| P3.2  | Does a proposed activity risk not meet the requirements for environment-friendly, socially beneficial, and economically viable plantations using native species whenever possible? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| P3.3  | Does a proposed activity have a risk of negatively impacting critical habitats?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>Conclusion of do-no-harm risk assessment on principle 3 (Ecology and natural resources):</b> |  |   |  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

### 5.3 Social safeguards principles/criteria

#### 5.3.1 Principle 4: Human rights<sup>30</sup>

42. This principle stipulates that the activity developer shall respect international human rights to sustainable development, poverty alleviation and ensuring fair distribution of development opportunities and benefits. Also, an activity is to be implemented with due respect for human rights by avoiding infringement on the human rights of others and addressing adverse human rights impacts that the activity may cause or to which it may contribute.<sup>31</sup>

#### **Principle 4 (Human rights) criteria:**

43. P4.1: An activity is not to discriminate with regard to participation and inclusion and is also not to undermine the national or regional measures for the realization of the right to development.

**Table 8. Guiding questions for the do-no-harm risk assessment on human rights**

| <b>Principle 4 Human rights</b>  |  | <b>Host country regulations</b>   | <b>Generic risk assessment</b> |
|--|--|---|--------------------------------|
| <b>Principle level question</b>  | Does the activity participant provide a statement to confirm that the activity does not undermine national or regional measures for the realization of the right to development?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                |
| <b>Additional guiding question:<br/>Please complete the questions below.</b> |  |   |                                |
| <b>P4.2</b>  | Does the activity participant confirm that the activity does not adversely impact on the enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?                            | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                |
| <b>P4.3</b>  | Does the activity participant confirm that the activity does not 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? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                |

<sup>30</sup> Gold Standard (2023) Safeguarding Principles & Requirements.

<sup>31</sup> Gold Standard (2023) Safeguarding Principles & Requirements.

|  |   |   |  |   |
|--|---|---|--|---|
| <b>P4.4</b>  | Does the activity participant confirm that the activity does not 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? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>P4.5</b>  | Does the activity participant confirm that local communities or individuals have not raised human rights concerns regarding the activity (e.g. during the stakeholder engagement process, etc.)?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>P4.6</b>  | Does the activity participant confirm that the activity has not caused forced eviction and/or partial physical or economic displacement of Indigenous Peoples and local communities?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>Conclusion of do-no-harm risk assessment on principle 4 (Human rights):</b> |   |   |  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

### 5.3.2 Principle 5: Labour<sup>32</sup>

44. Principle 5 refers to the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. To promote social labour and working conditions, the following has to be considered:
- (a) Promoting education programmes for local communities to access labour opportunities created by the proposed activity;
  - (b) Promoting the fair treatment, non-discrimination and equal opportunity of project workers;
  - (c) Protecting project workers, including vulnerable workers such as women, persons with disabilities and migrant workers, contracted workers, community workers, and primary supply workers, as appropriate;
  - (d) Preventing the use of all forms of forced labour and child labour;
  - (e) Supporting the principles of freedom of association and collective bargaining of project workers in a manner consistent with national law;

<sup>32</sup> World Bank (n.a.) Environmental and Social Standards (ESS). ESS2: Labor and Working Conditions. Available at: <https://documents1.worldbank.org/curated/en/149761530216793411/ESF-Guidance-Note-2-Labor-and-Working-Conditions-English.pdf>.

- (f) Providing project workers with accessible means to raise workplace concerns.<sup>33</sup>

**Principle 5 (Labour) criteria:**

45. P5.1: The proposed activity shall aimed to promote social labour and working conditions, the following has to be considered:

Promoting education programmes for local communities to access labour opportunities created by the proposed activity;

Promoting the fair treatment, non-discrimination and equal opportunity of activity workers;

Protecting activity workers, including vulnerable workers such as women, persons with disabilities and migrant workers, contracted workers, community workers, and primary supply workers, as appropriate;

Preventing the use of all forms of forced labour<sup>34</sup> and child labour;

Supporting the principles of freedom of association and collective bargaining of activity workers in a manner consistent with national law;

Providing activity workers with accessible means to raise workplace concerns.

**Table 9. Guiding questions for the do-no-harm risk assessment on labour**

| <b>Principle 5 Labour</b>   |   |   | <b>Host country regulations</b> | <b>Generic risk assessment</b> |
|---|---|---|---------------------------------|--------------------------------|
| <b>Principle level question</b>   | Does the activity participant confirm that the proposed activity will promote social labour and working conditions according to the host country regulatory requirements applicable to the proposed activity? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                 |                                |
| <b>Principle level question</b>   | Does the project design document describe how the proposed activity promotes social labour and working conditions as described in paras 53 and 54 ?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                 |                                |
| <b>Additional guiding question:</b>   |   |   |                                 |                                |
| <b>Does the activity participant have documented implemented measures to:</b> |   |   |                                 |                                |
| <b>P5.1</b>   | a. Promote education programmes for local communities to access labour opportunities  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                 |                                |

<sup>33</sup> World Bank (n.a.). Environmental and Social Standards (ESS). ESS2: Labor and Working Conditions. Available at: <https://documents1.worldbank.org/curated/en/149761530216793411/ESF-Guidance-Note-2-Labor-and-Working-Conditions-English.pdf>.

<sup>34</sup> Forced labour which consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty shall not be used in connection with the activity. Where cases of forced labour are identified, immediate steps shall be taken to correct and remedy them.

|  |  |   |  |   |
|--|--|---|--|---|
|  | created by the proposed activity?  |   |  |   |
| <b>P5.1</b>  | b. Promote the fair treatment, non-discrimination and equal opportunity of activity workers?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>P5.1</b>  | c. Protect activity workers, including vulnerable workers such as women, persons with disabilities and migrant workers, contracted workers, community workers, and primary supply workers, as appropriate? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>P5.1</b>  | d. Prevent the use of all forms of forced labour and child labour?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>P5.1</b>  | e. Support the principles of freedom of association and collective bargaining of activity workers in a manner consistent with national law?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>P5.1</b>  | f. Provide activity workers with accessible means to raise workplace concerns.?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |  |   |
| <b>Conclusion of do-no-harm risk assessment on principle 5 (Labour):</b> |  |   |  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

### 5.3.3 Principle 6: Health and safety<sup>35</sup>

46. Principle 6 refers to how activities, equipment and infrastructure can increase community exposure to risks and impacts. This principle involves evaluating the risks and impacts of the activity on the health and safety of the affected communities during the activity life cycle, including those who, because of their circumstances, may be vulnerable.<sup>36</sup>

#### **Principle 6 (Health and safety) criteria:**

47. P6.1: The activity shall avoid community exposure to increased health risks (e.g. pollution, contaminated areas/resources) and disease and shall not adversely affect the health of the workers and the community.

<sup>35</sup> IADB (2020). Environmental and Social Policy Framework. Environmental and Social Performance Standard 4: Community Health, Safety, and Security. Available at: <https://blogs.iadb.org/sostenibilidad/en/esp-environmental-and-social-policy-framework-in-a-nutshell/>.

<sup>36</sup> IADB (2020). Environmental and Social Policy Framework. Environmental and Social Performance Standard 4: Community Health, Safety, and Security. Available at: <https://blogs.iadb.org/sostenibilidad/en/esp-environmental-and-social-policy-framework-in-a-nutshell/>.

48. P6.2: The activity shall put measures in place to protect workers from the inherent risk of the nature of their work/sector, including, but not limited to, physical, chemical, biological and radiological hazards, and specific threats to women.
49. P6.3: The activity shall undertake appropriate health and safety assessment while considering safety risks to communities; adopt appropriate avoidance, minimization, and mitigation measures following national legal requirements, good international practice<sup>37</sup> and favouring the prevention or avoidance of risks and impacts over their minimization and reduction, and ensure accidents or incidents associated with the activity are appropriately recorded, reported and addressed, and that emergency preparedness and response plans are in place.
50. P6.4: The assessment and adopted management measures shall take into account differences in risk exposure and sensitivity of women and men, as well as marginalized and disadvantaged groups, including children, older persons, persons with disabilities, minorities, and Indigenous People.

**Table 10. Guiding questions for the do-no-harm risk assessment on health and safety**

| <b>Principle 6 Health and safety</b> |  |   | <b>Host country regulations</b> | <b>Generic risk assessment</b> |
|--------------------------------------|--|---|---------------------------------|--------------------------------|
| <b>Principle level question</b>      | Does the activity participant confirm that as part of the implementation of the proposed activity, it has considered the risks and impacts of the activity on the health and safety of the affected communities during the activity life cycle, including those who, because of their circumstances, may be vulnerable, as per host country regulatory requirements applicable to the proposed activity? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                 |                                |
| <b>Principle level question</b>      | Does the activity participant confirm that the proposed activity does not involve potential risks to the health and safety of affected communities during its life cycle?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                 |                                |
| <b>Principle level question</b>      | Does the activity participant confirm that the proposed activity does not involve any potential risks to the workers' safety and health?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |                                 |                                |

<sup>37</sup> For example, the International Finance Corporation Environmental, Health and Safety Guidelines, available at: <http://www.ifc.org/ehsguidelines>.

|  |  |   |  |   |
|--|--|---|--|---|
| <b>Principle level question</b>  | Has the activity participant described in the [project design document] the measures on how the activity is addressing any identified risk related to community health and safety? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b>  |  |   |
| <b>Additional guiding question:</b><br><b>Additional activity information: Does the proposed activity involve:</b> |  |   |  |   |
| <b>P6.1</b>  | Construction and/or infrastructure development (e.g. roads, buildings, dams)?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b>  |  |   |
| <b>P6.1</b>  | Air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>P6.1</b>  | Harm or losses due to the failure of structural elements of the activity (e.g. collapse of buildings or infrastructure)?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>P6.1</b>  | Risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?           | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>P6.1</b>  | Transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?                     | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>P6.1</b>  | Adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?                       | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |   |
| <b>Conclusion on do-no-harm risk assessment on principle 6 (Health and safety):</b>                                |  |   |  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

### 5.3.4 Principle 7: Gender equality<sup>38</sup>

51. This principle refers to identifying potential gender-based risks and impacts and introducing effective measures to avoid, prevent or mitigate such risks and impacts, thereby eliminating the possibility of reinforcing pre-existing inequalities and/or creating new ones.<sup>39</sup>

#### **Principle 7 (Gender equality) criteria:**

52. P7.1: The activity shall not reinforce gender-based discrimination and shall not lead/contribute to adverse impacts on gender equality and/or the situation of women.

53. P7.2: The activity shall apply the principles of non-discrimination, equal treatment and equal pay for equal work.

**Table 11. Guiding questions for the do-no-harm risk assessment on gender equality**

| <b>Principle 7 Gender equality</b>  |  |   | <b>Host country regulations</b> | <b>Generic risk assessment</b> |
|---|--|---|---------------------------------|--------------------------------|
| <b>Principle level question</b>   | Does the activity participant confirm that effective measures have been described in the [project design document] to avoid, prevent or mitigate potential gender-based risks and eliminate the possibility of reinforcing pre-existing inequalities and/or creating new ones? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>   |                                 |                                |
| <b>Principle level question</b>   | Have local stakeholders' groups/leaders raised gender equality concerns regarding the activity during the local stakeholder?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>   |                                 |                                |
| <b>Additional guiding question:</b>   |  |   |                                 |                                |
| <b>Does the activity participant have documented implemented measures to:</b> |  |   |                                 |                                |
| <b>P7.1</b>   | Any gender equality concern(s) raised during the local stakeholder has/have been documented and addressed?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                |
| <b>P7.1</b>   | The activity does not involve or lead to adverse impacts on gender equality and/or the situation of women and girls.   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                |
| <b>P7.1</b>   | The activity does not involve or lead to the exacerbation of risks of gender-based violence (for example,  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b>  |                                 |                                |

<sup>38</sup> IADB (2020). Environmental and Social Policy Framework. Environmental and Social Performance Standard 9: Gender Equality. Available at: <https://blogs.iadb.org/sostenibilidad/en/espf-environmental-and-social-policy-framework-in-a-nutshell/>.

<sup>39</sup> IADB (2020). ENVIRONMENTAL AND SOCIAL POLICY FRAMEWORK. ENVIRONMENTAL AND SOCIAL PERFORMANCE STANDARD 9 Gender Equality. Available at: <https://blogs.iadb.org/sostenibilidad/en/espf-environmental-and-social-policy-framework-in-a-nutshell/>.

|             |   |   |  |  |
|-------------|---|---|--|--|
|             | 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"/> <b>N/A</b>   |  |  |
| <b>P7.2</b> | The activity does not pose a risk to the principle of non-discrimination, equal treatment, equal pay for equal work (e.g. equal payment for women and men for the implementation work of the activity; fair conditions for women and men to participate in the implementation of the activity considering pregnancy/maternity/paternity leave/marital status; inform community (women and men) about the implementation of the activity in an accessible manner to ensure full engagement). | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |  |
| <b>P7.2</b> | The activity does not prevent 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"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |  |
| <b>P7.2</b> | The activity does not limit the participation of women or men based on pregnancy, maternity/paternity leave, or marital status?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |  |
| <b>P7.2</b> | The activity does not involve or lead to reproducing discriminations against women based on gender, in particular participation in the design and implementation or access to opportunities and benefits.   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |  |
| <b>P7.2</b> | The activity does not involve or lead to limitations on 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 natural resources degradation or depletion in communities who depend on these   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |  |  |

|   |  |  |  |   |
|---|--|--|--|---|
|   | resources for their livelihoods and well-being). |  |  |   |
| <b>Conclusion of do-no-harm risk assessment on principle 7 (Gender equality):</b> |  |  |  | <input type="checkbox"/> Yes<br><input type="checkbox"/> Potentially<br><input type="checkbox"/> No<br><input type="checkbox"/> N/A |

### 5.3.5 **Principle 8: Land acquisition and involuntary resettlement**<sup>40, 41</sup>

54. Principle 8 refers to the fact that activity-related land acquisition and restrictions on land use can have adverse impacts on communities and persons. Activity-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets, or access to assets, leading to loss of income sources or other means of livelihood), or both. Involuntary resettlement should be avoided. Where involuntary resettlement is unavoidable; it will be minimized, and appropriate measures to mitigate adverse impacts on displaced persons (and on host communities receiving displaced persons) will be carefully planned and implemented.<sup>42</sup>

#### **Principle 8 (Land acquisition and involuntary resettlement) criteria:**

55. P8.1: The activity shall either not involve or support involuntary relocation and/or displacement of people.
56. 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) cannot be avoided.
57. P8.3: A resettlement action plan and/or livelihood action plan shall be integrated into the activity documentation where physical displacement is involved. The action plans will be developed in accordance with international best practice (e.g. [United Nations Development Programme Standard 5: Displacement and Resettlement](#)), and in full consultation and agreement with the affected individual, group or community.
58. P8.4: Expert stakeholders' opinions and recommendations shall be sought and demonstrated as being included in the activity design where physical displacement is involved.

<sup>40</sup> Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

<sup>41</sup> World Bank (n.a.). Environmental and Social Standards (ESS). ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement. Available at: <https://documents1.worldbank.org/curated/en/294331530217033360/ESF-Guidance-Note-5-Land-Acquisition-Restrictions-on-Land-Use-and-Involuntary-Resettlement-English.pdf>.

<sup>42</sup> World Bank (n.a.). Environmental and Social Standards (ESS). ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement. Available at: <https://documents1.worldbank.org/curated/en/294331530217033360/ESF-Guidance-Note-5-Land-Acquisition-Restrictions-on-Land-Use-and-Involuntary-Resettlement-English.pdf>.

**Table 12. Guiding questions for the do-no-harm risk assessment on land acquisition and involuntary resettlement**

| <b>Principle 8 Land acquisition and involuntary resettlement</b>                             |   | <b>Host country regulations</b>   | <b>Generic risk assessment</b> |
|--|---|---|--------------------------------|
| <b>Principle level question</b>  | Does the activity involve or support involuntary relocation and/or displacement of people?<br><br>If the answer to question above is “yes”, please explain the reason and how the activity will ensure compliance with applicable requirements. | <input type="checkbox"/> Yes<br><input type="checkbox"/> No   |                                |
| <b>Additional guiding question:</b><br><i>Does the proposed activity involve or lead to:</i> |   |   |                                |
| <b>P8.2</b>  | Risk of forced evictions or involuntary relocation of people?   | <input type="checkbox"/> Yes<br><input type="checkbox"/> Potentially<br><input type="checkbox"/> No<br><input type="checkbox"/> N/A |                                |
| <b>P 8.3</b>   | Physical displacement (i.e. relocation or loss of shelter) of people?   | <input type="checkbox"/> Yes<br><input type="checkbox"/> Potentially<br><input type="checkbox"/> No<br><input type="checkbox"/> N/A |                                |
| <b>P 8.4</b>   | If answer to the question above is “YES” or “POTENTIALLY”:  |   |                                |
|  | (i) Has the activity developed a resettlement action plan and/or livelihood action plan in consultation and agreement with affected individuals, groups or communities?   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> N/A   |                                |
|  | (ii) Has the activity integrated the resettlement action plan and/or livelihood action plan into the activity?  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No<br><input type="checkbox"/> N/A   |                                |

|  |  |  |  |  |
|--|--|--|--|--|
| <p><b>P 8.5</b></p>  | <p><b>Has the activity sought out and included opinions and recommendations from an expert stakeholder in the activity design?</b></p> | <p><input type="checkbox"/> Yes<br/> <input type="checkbox"/> No<br/> <input type="checkbox"/> N/A</p> |  |  |
| <p><b>Conclusion of do-no-harm risk assessment on principle 8 (Land acquisition and involuntary resettlement):</b></p> |  |  |  | <p><input type="checkbox"/> <b>Yes</b><br/> <input type="checkbox"/> <b>Potentially</b><br/> <input type="checkbox"/> <b>No</b><br/> <input type="checkbox"/> <b>N/A</b></p> |

**5.3.6 Principle 9: Indigenous Peoples**

59. This principle refers to respect for and taking into account the rights of Indigenous Peoples and individuals as contained in applicable legal obligations and commitments, which include pertinent national legislation, applicable international law, or in Indigenous legal systems. Indigenous legal systems are those that are recognized under national laws. In the absence of such laws, Indigenous systems will be recognized if they are not inconsistent with applicable national legislation and international laws. The activity can also create opportunities for Indigenous Peoples to participate in and benefit from activity-related activities that may help them achieve their aspirations for economic and social development. Furthermore, Indigenous Peoples may play a role in sustainable development by often promoting, owning and managing activities and enterprises as partners in development.<sup>43</sup>

**Principle 9 (Indigenous Peoples) criteria:**

- 60. P9.1: Activity participants shall identify all communities of Indigenous People within the activity area of influence who may be affected by the activity.
- 61. P9.2: As part of the design process, the activity participant shall carry out an environmental and social analysis of the activities that may affect or involve Indigenous Peoples. The analysis shall verify whether Indigenous Peoples reside in the proposed activity areas and/or if the activities may affect Indigenous Peoples outside of activity areas. The assessment shall include the potential impacts on their rights, lands, territories, gender relations and resources.
- 62. P9.3: The activity shall not result in the forcible removal of Indigenous Peoples from their lands and territories.
- 63. P9.4: The activity participant shall recognize and respect the Indigenous Peoples' collective rights to own, use, and 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.
- 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

<sup>43</sup> IADB (2020). Environmental and Social Policy Framework. Environmental and Social Performance Standard 7: Indigenous Peoples. Available at: <https://blogs.iadb.org/sostenibilidad/en/espf-environmental-and-social-policy-framework-in-a-nutshell/>.

free, prior and informed consent (FPIC).<sup>44</sup> 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 with the community.

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 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.
66. P9.7: As part of stakeholder consultation, the activity participants shall make available mutually agreed, culturally appropriate, accessible and inclusive channels for feedback and grievance redress to Indigenous Peoples and their representatives. Such process shall be established as part of the process for continuous engagement of local stakeholders in accordance with the “Article 6.4 activity standard for projects” or the “Article 6.4 activity standard for programmes of activities” at the beginning of the implementation of the activity with due consideration given to customary dispute settlement mechanisms among the Indigenous Peoples concerned and remain operational throughout the activity cycle. A conflict resolution mechanism should be also discussed, agreed upon and developed during the early stages of the programme or activity cycle. Furthermore, the activity participants shall inform Indigenous Peoples of the availability of the appeal and grievance processes under the Article 6.4 mechanism.

**Table 13. Guiding questions for the do-no-harm risk assessment on Indigenous Peoples**

| <b>P 9 Indigenous Peoples</b>                                      |  | <b>Host country regulations</b>  | <b>Generic risk assessment</b> |
|--|--|--|--------------------------------|
| <b>Principle level question</b>                                    | Does the activity involve Indigenous Peoples within the activity area of influence who may be affected directly or indirectly by the activity? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>  |                                |
| <b>Additional guiding question:</b>                                |  |  |                                |
| <b>Additional information: Does the proposed activity involve:</b> |  |  |                                |
|  | Areas where Indigenous Peoples are present (including activity area of influence)?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b> |                                |
|  | Areas, land and territory claimed by Indigenous Peoples?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b> |                                |
|  | Impacts (positive or negative) to the human  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b>                                       |                                |

<sup>44</sup> FPIC is a specific right granted to Indigenous Peoples recognized in the United Nations Declaration on the Rights of Indigenous Peoples, which aligns with their universal right to self-determination. FPIC allows Indigenous Peoples to provide or withhold/withdraw consent, at any point, regarding activity impacting their territories. 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/>.

|  |  |  |  |  |
|--|--|--|--|--|
|  | rights, lands, natural resources, territories, and traditional livelihoods of Indigenous Peoples?  | <input type="checkbox"/> <b>No</b>   |  |  |
|  | If answer to the questions above is “YES” or “POTENTIALLY”,<br>- Is it determined that the proposed activity may affect the rights, lands, resources, or territories of Indigenous Peoples?<br>- Has an Indigenous Peoples Plan or Indigenous Peoples Plan Framework been elaborated and included in the activity documentation?<br>- Was the plan developed in accordance with the effective and meaningful participation of Indigenous Peoples and in accordance with United Nations Development Programme Guidelines? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b>         |  |  |
|  | Risk of forcibly removing Indigenous Peoples from their lands and territories?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b> |  |  |
|  | Utilization and/or commercial development of natural resources on lands and territories claimed by Indigenous Peoples?<br><br>(Consider and, where appropriate, ensure consistency with the answers under principle criterion 8.4.)  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b> |  |  |
|  | If answer to the above questions is “YES” or “POTENTIALLY”:<br>- Did the activity obtain free, prior and informed consent from the Indigenous Peoples before taking their cultural, intellectual, religious, and/or spiritual property?<br><br>- Does the activity ensure that the Indigenous Peoples receive an equitable sharing of benefits resulting from the use of   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b>         |  |  |

|   |  |  |  |  |
|---|--|--|--|--|
|   | <p>their traditional knowledge and practices?</p> <p>- Does the activity ensure that the sharing of benefits resulting from the use of Indigenous Peoples' traditional knowledge and practices is culturally appropriate and inclusive?</p> <p>- Does the activity ensure that the provision of 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?</p> |  |  |  |
|   | <p>Does the activity lack appropriate feedback and grievance channels for Indigenous Peoples and their representatives? (see para 66.)</p>   | <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p> |  |  |
|   | <p>Has a communication channel mechanism been established at the beginning of the activity implementation with due consideration given to customary dispute settlement mechanisms among the Indigenous Peoples concerned, and will it remain operational throughout the activity cycle?</p>  | <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p> |  |  |
|   | <p>Are opinions and recommendations of an expert stakeholder(s) sought and demonstrated as being included in the activity design?</p>  | <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p> |  |  |
|   | <p>If the answer to the question above is "YES", has the activity design been changed, modified and/or updated?</p>  | <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p> |  |  |
| <p><b>Conclusion of do-no-harm risk assessment on principle 9 (Indigenous Peoples):</b></p> |  |  |  | <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Potentially</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p> |

### 5.3.7 Principle 10: Corruption<sup>45</sup>

67. Corruption undermines national security and the rule of law, stunts development and equitable economic growth, exacerbates the impacts of climate change and other shocks, and saps governments of legitimacy, eroding faith in democracy itself. It diverts resources that are needed to lift people out of poverty, improve health outcomes, and ensure that children have access to a quality education. Activity participants and any involved stakeholders shall detect and respond to corruption while designing, commissioning and operating the proposed activity.<sup>46</sup>

**Principle 10 (Corruption) criteria:**

68. P 10.1: The activity shall not involve, be complicit in or inadvertently contribute to or reinforce corruption or corrupt practices.

**Table 14. Guiding questions for the do-no-harm risk assessment on corruption**

| <b>P 10 Corruption</b>  |  | <b>Host country regulations</b>   | <b>Generic risk assessment</b>  |
|---|--|---|---|
| <b>Principle level question</b>   | Does the activity participant provide a statement/confirmation that:<br><br>i) The proposed activity does not involve, or is not complicit in, contributing to or reinforcing corruption or corrupt activities?<br><br>ii) The activity participant ensured that the proposed activity does not have a risk of encouraging bribery, kickbacks or other unethical behavior? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b> |   |
| <b>Conclusion of the do-no-harm risk assessment on principle 10 (Corruption):</b> |  |   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

### 5.3.8 Principle 11: Cultural heritage

69. Cultural heritage provides continuity in tangible and intangible forms between the past, present and future. People identify with cultural heritage as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions. Cultural heritage, in its many manifestations, is important as a source of valuable scientific and historical information, as an economic and social asset for development, and as an integral part of people’s cultural identity and practice. Activity participants shall avoid impacts on cultural heritage. When avoidance of impacts is not possible, it will identify and implement

<sup>45</sup> Gold Standard (2023). Safeguarding Principles & Requirements.

<sup>46</sup> United States Agency for International Development (n.d.) Anti-corruption. Available at: <https://www.usaid.gov/anti-corruption>.

measures to address impacts on cultural heritage by developing a cultural heritage management plan.<sup>47</sup>

**Principle 11 (Cultural heritage) criteria:**

70. P11.1: The activity shall not involve or be complicit in the alteration, damage or removal of any sites, objects or structures of critical cultural heritage.
71. P11.2: Critical cultural heritage consists of one or both of the following types of cultural heritage: (i) the internationally recognized heritage of communities who use, or have used within living memory, the cultural heritage for long-standing cultural purposes; or (ii) legally protected cultural heritage areas.
72. P11.3: The activity participant is responsible for designing an activity to avoid significant adverse impacts to 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 construction or operations. The activity participant will not proceed with the activity until an assessment by competent professionals, recognized by the host government, is made to ensure that no adverse impacts to cultural heritage will occur.
73. 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,<sup>48</sup> the scope and nature of the proposed commercial development, and the potential consequences of such development.

**Table 15. Guiding questions for the do-no-harm risk assessment on cultural heritage**

| <b>P 11 Cultural heritage</b>   |  | <b>Host country regulations</b>   | <b>Compliance justification</b> |
|---|--|---|---------------------------------|
| <b>Principle level question</b>   | Does the activity involve altering, damaging or removing sites, objects, or structures of significant cultural heritage? | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>   |                                 |
| <b>Principle level question</b>   | Does the activity involve usage or partial usage of sites, objects or structures of significant cultural heritage?       | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>   |                                 |
| <b>Additional guiding question:</b><br><b>If yes above, does the proposed activity involve:</b> |  |   |                                 |
| <b>P11.2</b>  | Activities adjacent to or within a critical cultural heritage site?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |

<sup>47</sup> World Bank (n.a.). Environmental and Social Standards (ESS). ESS8 Cultural Heritage. Available at: <https://thedocs.worldbank.org/en/doc/736221511809522500-0290022017/original/EnvironmentalSocialStandardESS8FactSheetWBESF.pdf>.

<sup>48</sup> Cultural heritage is preserved, protected and promoted in mitigation activities in a manner consistent with the United Nations Educational, Scientific and Cultural Organization (UNESCO) Cultural Heritage conventions or any other national or international legal instruments that might have a bearing on the use of cultural heritage.

| <b>P 11 Cultural heritage</b> |  |   | <b>Host country regulations</b> | <b>Compliance justification</b> |
|-------------------------------|--|---|---------------------------------|---------------------------------|
| <b>P11.3</b>                  | Significant excavations, demolitions, movement of earth, flooding or other environmental changes?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                 |
| <b>P11.3</b>                  | Alterations to landscapes and natural features with cultural significance?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                 |
| <b>P11.3</b>                  | Adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)?<br>Note: Activities intended to protect and conserve cultural heritage may also have inadvertent adverse impacts. | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                 |
| <b>P11.4</b>                  | Utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of cultural heritage for commercial or other purposes?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                 |
| <b>P11.4</b>                  | If the answer to the question above is “YES” or “POTENTIALLY”, are the communities made aware of their rights under the law, the scope and nature of the proposed development, and its potential consequences?   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                 |
| <b>P11.4</b>                  | Does the activity provide 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"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                 |
| <b>P11.4</b>                  | Are the opinions and recommendations of a competent professional(s) sought and demonstrated as being included in the activity design?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |                                 |                                 |

| <b>P 11 Cultural heritage</b>  |  | <b>Host country regulations</b>   | <b>Compliance justification</b>   |
|--|--|---|---|
| <b>P11.4</b>   | If the answer to the above question is “YES”, has the activity design been changed, modified and updated considering the opinions and recommendations of competent professionals?  | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |   |
| <b>P11.4</b>   | Does the activity involve any risks related to the involuntary relocation of people?<br><br><b>If yes, please complete the resettlement section under principle 5.</b>   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>   |   |
| <b>P11.4</b>   | Does the activity involve any risks related to identifying and managing legitimate tenure rights that may be affected by the activity?<br><br><b>If yes, please complete the land acquisition section under principle 5.</b> | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>No</b>   |   |
| <b>Conclusion of the do-no-harm risk assessment on principle 11 (Cultural heritage):</b> |  |   | <input type="checkbox"/> <b>Yes</b><br><input type="checkbox"/> <b>Potentially</b><br><input type="checkbox"/> <b>No</b><br><input type="checkbox"/> <b>N/A</b> |

## 6 Demonstrating impact to sustainable development

74. Activity participants shall demonstrate the direct impact of their Article 6.4 activities and/or Article 6.4 PoAs to the sustainable development of the host country(ies) by demonstrating how the proposed activity supports host countries to achieve their own sustainable development priorities/objectives referred in the section 6.1 and SDGs in the section 6.2.

### 6.1 Consideration of sustainable development priorities/objectives of host party

75. Activity participants shall identify the host country’s sustainable development priorities/objectives that may include national strategies for sustainable development and/or SDG achievement, SDG national targets and indicators, and economic, social and environmental indicators related to the proposed activity type.

76. If the host country defines national sustainable development objectives, national strategies for sustainable development and/or SDG achievement, SDG national targets and indicators relevant to a proposed activity, activity participants are required to include them in A6.4 Sustainable Development form.

## 6.2 Identification of positive and negative impacts to 17 Sustainable Development Goals

77. Activity participants shall identify SDGs relevant to the proposed activity type:
- (a) Activity participants are required to screen the 17 SDGs to identify those SDGs that the proposed project activity has positive and/or negative impacts on and provide justification of any excluded SDGs;
  - (b) Activity participants shall assess how the proposed activity may result in a direct and significant impact to the relevant SDGs and are required to follow the steps provided in section 6.3.

## 6.3 Identification of impact to sustainable development

78. Activity participants shall identify and list the likely, direct and significant impact to sustainable development resulting from the proposed activity, keeping in mind the local and national context.
79. Impact to sustainable development shall:
- (a) Be universally applicable to the activity type (environmental, economic and social contribution);
  - (b) Result in a primary impact (i.e. the activity is the main driver of change);
  - (c) Be significant by recurring/lasting during at least the whole crediting period of a proposed activity and impacting the primary stakeholders and/or local environment in a direct and measurable way. Significance is a subjective term and should therefore be assessed at the activity level based on the magnitude of impact as measured by an indicator and subsequently monitored and validated and verified by a DOE.

### 6.3.1 Developing activity-level SD indicators

80. Activity participants shall take the following steps to establish activity-level sustainable development indicators for each identified direct and significant impact to SDGs resulting from the proposed activity:
- (a) **Step 1:** Activity participants are required to elaborate relevant activity-level indicators for the SDGs identified as impacted, taking into consideration the SDG, SDG targets and SDG indicators. At least one SDG target and corresponding indicator(s) for each SDG should be chosen (see Table 16 below);

**Table 16. Example of defining activity-level sustainable development indicator**

| <b>Sustainable Development (SDG)</b>   | <b>Goal</b> | <b>SDG target</b>  | <b>SDG indicator</b>  | <b>Activity-level sustainable development indicator</b>                      |
|--|-------------|--|---|--|
| 13. Climate action (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<br><br>13.2.2 Total greenhouse gas (GHG) emissions per year | Amount of GHG emissions avoided or sequestered per year in tCO <sub>2e</sub> |
| 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         |

(b) **Step 2:** The proposed activity-level sustainable development indicator(s) can be qualitative or quantitative and shall be monitorable over the crediting period. The proposed activity-level sustainable development indicator(s) shall:

- (i) Be in line with the objectives and intent of the SDGs and their corresponding targets;<sup>49</sup>
- (ii) Be primarily/directly impacted by the activity (not be one-off); and
- (iii) Include the monitoring approach and parameters, including frequency of monitoring, to be used for each selected activity-level SDG target and indicator defined in A6.4 Sustainable Development form.

81. Once activity participants complete the A6.4 Sustainable Development form, the outcome (including the form) must be shared during the local stakeholder consultation and with the DOE performing validation.

<sup>49</sup> United Nations-level SDGs, targets and indicators: <https://unstats.un.org/sdgs/indicators/indicators-list/>.

## **6.4 Monitoring description/requirement of activity-level SD indicators**

82. The activity participant shall describe in the A6.4 Sustainable Development form the monitoring procedures of the sustainable development indicators, including:
- (a) Description of 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).
83. Once activity participants complete the A6.4 Sustainable Development form, the outcome (including the form) must be shared with the DOE performing validation.

## **7 Validation**

84. The DOE shall validate the appropriateness of information provided in A6.4 Environmental and Social safeguards risk assessment form that includes identification of environmental and/or social risks caused by a proposed activity and A6.4 Environmental and Social Management Plan that addresses environmental and/or social risks identified in A6.4 Environmental and Social safeguards risk assessment form and contains the do-no-harm risk assessment, risk mitigation plan and environmental and social indicator by reviewing stakeholder consultation documents[inputs/comments] and conducting an interview with local stakeholders and employing professional judgement in order to:
- (a) Evaluate quantitative as well as qualitative information to judge the adequacy of fulfilment of identification of environmental and/or social risks caused by a proposed activity, the do-no-harm risk assessment, risk mitigation plan and environmental and social indicators due to the activity considering host country regulatory requirements applicable to the proposed activity.
  - (b) Validate that the outcome of the A6.4 Environmental and Social safeguards risk assessment form and A6.4 Environmental and Social Management Plan are shared during the local stakeholder consultation and reflect inputs received from the local stakeholder consultation to the form and plan.
  - (c) Validate that established continuous engagement of local stakeholders is in accordance with the “Article 6.4 activity standard for projects” or the “Article 6.4 activity standard for programmes of activities”
85. The DOE shall validate the appropriateness of information provided in A6.4 Sustainable Development form by reviewing relevant host party documentation on sustainable development objective/criteria/goal, stakeholder consultation documents [inputs/comments] and conducting an interview with local stakeholders and employing professional judgement in order to validate that:
- (a) Sustainable development objective/indicators of host party, in A6.4 Sustainable Development form, are in line with host country’s definition (when available)
  - (b) Activity-level SD indicators defined in A6.4 Sustainable Development form are universally applicable to the activity type and significant by recurring/lasting during at least the whole crediting period of a proposed activity and impacting the primary stakeholders and/or local environment in a direct and measurable way and result in a primary benefit.

(c) Description of activity-level SD indicators is accurately reflected in A6.4 Sustainable Development form.

86. The DOE shall provide confirmation that based on the A6.4 Environmental and Social Management Plan and the A6.4 Sustainable Development form, the proposed activity results in no harm and contributes to sustainable development.

87. [example received from DOE]

## 8 Verification

88. During the verification of emission reductions for any given monitoring period, the DOE shall also verify the monitoring of the environmental and social indicators in the A6.4 Environmental and Social Management Plan and activity-level SD indicators in the A6.4 Sustainable Development form established as part of the registered activity and evaluate the outcome of the monitoring of all indicators defined in those plans. If the DOE observes any deviation from the information in the A6.4 Environmental and Social Management Plan and the A6.4 Sustainable Development form that are validated at the registration, it needs to provide its verification opinion on the observed deviation. The DOE shall review any inputs comments received via continuous engagement of local stakeholders in accordance with the “Article 6.4 activity standard for projects” or the “Article 6.4 activity standard for programmes of activities and conduct an interview with local stakeholders and employ professional judgement in the evaluation of the ex-post fulfilment of do-no-harm and sustainable development impacts due to the activity considering host country regulatory requirements applicable to the proposed activity.

89. The DOE shall confirm that the activity participant has measured, monitored and reported parameters established in the A6.4 Environmental and Social Management Plan and A6.4 Sustainable Development form submitted at the registration stage.

90. [example received from DOEs]

## 9 References

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- (m) Information note: Evaluation of the use of the voluntary online sustainable development co-benefits tool, [https://cdm.unfccc.int/sunsetcms/storage/contents/stored-file-20141111084506544/SDTool\\_note01.pdf](https://cdm.unfccc.int/sunsetcms/storage/contents/stored-file-20141111084506544/SDTool_note01.pdf).
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### Document information

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Tool: Article 6.4 sustainable development tool

Version 02.0

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