

A6.4-SBM013-AA-A10

Draft Tool

Article 6.4 sustainable development tool

Version 07.0



United Nations
Framework Convention on
Climate Change

COVER NOTE

1. Procedural background

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

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

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

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

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

2. Purpose

9. This document presents the revised draft A6.4 SD tool based on guidance from the informal working group of the Supervisory Body and the inputs received from CDM DOEs and VVBs during the focused call for inputs on the draft A6.4 SD tool.

3. Analysis of inputs received during the focused call for inputs from CDM DOE/VVBs

10. The focused call for inputs² took place from 3rd to 17th of May 2024, one submission from the DOE forum/VVB and seven from other relevant stakeholders were received. The summary and analysis of the submissions are as shown below:

Table 1. Summary and analysis of the submissions related to the draft A6.4 SD tool

Submitter	Summary of the inputs	Consideration of the input to the revised draft A6.4 SD tool
DOE forum/VVB	<ul style="list-style-type: none"> • Clarify principle’s level and relevant additional guiding question numbering. • Removal of unclear words 	<ul style="list-style-type: none"> • Provide clear numbering/guidance to principle’s level and additional guiding questions • Unclear words were replaced.

² The submissions are available at:
<https://unfccc.int/process-and-meetings/the-paris-agreement/paris-agreement-crediting-mechanism/calls-for-input/call-for-input-2024-a64-sd-tool>.

Submitter	Summary of the inputs	Consideration of the input to the revised draft A6.4 SD tool
	<ul style="list-style-type: none"> • Definition of child labour based on International Labour Organization (ILO) • Clear description in possible responses of Do-No-Harm Risk Assessment • Difficult to apply requirement in principle 10 Corruption as the DOE is not a prosecutor • Unclear term of “significance” in an object audit result with a reasonable level of assurance. • Additional effort required on identification of activity level indicator in Sustainable Development (SD) impacts even for the positive impacts. 	<ul style="list-style-type: none"> • New definition based on ILO. • Table 1 is revised to clarify the response of “Yes”, “Potentially”, “No”. • The principle 10 is revised to confirm the submission of a declaration (“the proposed A6.4 project in its development, implementation and operation shall not involve any illegal activities, including money laundering, tax evasion, fraud, bribery and criminal activities”) as per the Article 6.4 activity cycle procedure for projects (ACP). • Revision of the definition of impact to SD in DOE’s term (applicable, direct and recurring/lasting during the crediting period) • Introduction of a diagram for easing the understanding of the identification of activity level indicator in SD impacts and consideration of only direct impacts to SD.
Other stakeholders	<ul style="list-style-type: none"> • Clear guidance in the absence of host Party (national, subnational or local) regulations • Elaboration on Stakeholder involvement in the process • Clear definition of “feasible” 	<ul style="list-style-type: none"> • Revision of the relevant sections/para and introduction of a new diagram outlining the decision-making process to provide clear guidance in the absence of host Party regulations • Stakeholder participation process (local stakeholder consultation, continuous engagement process during the crediting/monitoring period and interviews with local stakeholders by the DOE during validation/ verification process) as per the Article 6.4 activity standard for projects (AS), Article 6.4 activity cycle procedure for projects (ACP), and Article 6.4 validation and verification standard for projects (VVS). • Feasible now refers to “technically and financially feasible”.

Submitter	Summary of the inputs	Consideration of the input to the revised draft A6.4 SD tool
	<ul style="list-style-type: none"> • Definition of “baseline” in the draft A6.4 SD tool • Reference of the United Nations Convention Against Corruption in principle 10 Corruption 	<ul style="list-style-type: none"> • Environmental and social baseline as environmental and social conditions in the absence of the proposed activity. • Based on the input from the DOE forum/VVB, the principle 10 is revised to follow requirements as per ACP.

4. Impacts

11. The A6.4 SD tool will form the regulatory basis for the operationalization of the Article 6.4 mechanism.

5. Subsequent work and timelines

12. As per its 2024 workplan, the Supervisory Body plans to finalize the A6.4 SD tool at this thirteenth meeting. Based upon its approval of the A6.4 SD tool, the Supervisory Body may request the secretariat to prepare the respective A6.4 Environmental and Social Safeguards Risk Assessment Form, A6.4 Sustainable Development Tool Form and the A6.4 Environmental and Social Management Plan Form, as referred in the A6.4 SD tool.

6. Recommendations to the Supervisory Body

13. Based on the feedback provided by the Supervisory Body, at its eleventh meeting, and the review of inputs referred in the section 3 above, the secretariat has further revised the A6.4 SD tool and recommends that the Supervisory Body:
 - (a) Adopts the draft A6.4 SD tool; and
 - (b) Requests the secretariat to prepare the respective forms referred to in the A6.4 SD tool:
 - (i) A6.4 Environmental and Social Safeguards Risk Assessment Form;
 - (ii) A6.4 Sustainable Development Tool Form; and
 - (iii) A6.4 Environmental and Social Management Plan Form;
 - (c) Agrees that the application of A6.4 SD tool to become mandatory for transition of CDM activities to Article 6.4 mechanism only when the above three forms become available.

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DRAFT

1. Introduction

1.1. Background

1. The Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA), at its third session, adopted the rules, modalities and procedures (RMPs) for the mechanism established by Article 6, paragraph 4, of the Paris Agreement (Article 6.4 mechanism) and requested the Supervisory Body to apply robust, social and environmental safeguards and to develop tools and approaches for assessing and reporting information about how each activity is fostering sustainable development, while acknowledging that the consideration of sustainable development is a national prerogative.
2. The RMPs also refer to the eleventh preambular paragraph of the Paris Agreement (*Acknowledging* that climate change is a common concern of humankind, Parties should, when taking action to address climate change, respect, promote and consider their respective obligations on human rights, the right to health, the rights of Indigenous Peoples, local communities, migrants, children, persons with disabilities and people in vulnerable situations and the right to development, as well as gender equality, empowerment of women and intergenerational equity).
3. The Supervisory Body of the Article 6.4 mechanism, at its Xth meeting (SBM XXX), approved the Article 6.4 sustainable development tool (A6.4 SD tool).

2. Scope, applicability, and entry into force

2.1. Scope

4. 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, manage and monitor potential negative environmental and social impacts and potential positive and negative contributions to the 17 Sustainable Development Goals (SDGs), by an Article 6.4 activities and/or A6.4 programmes of activities (PoA) (hereafter “activity” or “activities” refers to activity, Article 6.4 Activities and/or A6.4 PoA).
5. The A6.4 SD tool requires the activity participants to identify and evaluate potential risks and adverse outcomes of the proposed activities, and They must to adopt mitigation strategies to avoid or, where complete avoidance of risk is not possible, minimize identified risks, to providing evidence that the activities are consistent with host country party regulations and/or. Activity participants are also encouraged to apply relevant standards, industry best practices and their own voluntary corporate policies, in addition to or in absence of host party regulations obligations.
6. While sustainable development contributions by the proposed activities shall be confirmed by the host country party in through the “Host Party approval” letter of approval (LoA) as per Article 6.4 activity cycle procedure, activity participants are required to demonstrate how the proposed activities contribute to sustainable development by applying the A6.4 SD Tool.

7. This tool is divided into three sections:
 - (a) Environmental and social safeguards¹: ~~These Contains~~ safeguards principles and criteria that aim to identify, ~~mitigate—avoid~~ and minimize ~~adverse/negative~~ 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;
 - (c) Validation and verification: This section provides additional requirements to the VVS-P/PoA to be considered by the DOEs during the validation and verification stages.
8. The results of the assessment of the environmental and social safeguards shall be reflected in:
 - (a) A6.4 Environmental and Social Safeguards Risk Assessment Form; and
 - (b) A6.4 Environmental and Social Management Plan Form.
9. ~~and The~~ the evaluation of sustainable development impact shall be reflected in:
 - (a) A6.4 Sustainable Development Tool Form. ~~These forms 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 section 6.9 and appendix 2 of the Article 6.4 mechanism activity standards.~~
10. ~~Based When on inputs received~~ These three A6.4 SDtool forms (referred in paragraphs 8 and 9 above) shall be shared during the local stakeholder consultation, in accordance with host Party rules and/or Article 6.4 mechanism activity cycle procedures and section 6.9 and appendix 2 of Article 6.4 mechanism activity standards. ~~Based When on inputs received~~ issues are raised from local stakeholder consultation, activity participants are required to revise/update the A6.4 Environmental and Social Safeguards Risk Assessment Form, the A6.4 Environmental and Social Management Plan Form and the A6.4 Sustainable Development Tool Form and shall submit them to a DOE for validation.
11. The validated A6.4 Environmental and Social Safeguards Risk Assessment Form, the A6.4 Environmental and Social Management Plan and A6.4 the Sustainable Development Tool Form shall be part of the registered activity documentation and will be used for ex-post monitoring during the crediting period and shall be verified by a DOE during each request for issuance of Article 6.4, paragraph 4, emission reductions ([A6.4 ERs]).
12. Stakeholders may submit any issue and comments related to compliance of this tool through the local stakeholder consultation and global stakeholder consultation prior to the registration of an activity ~~as per Article 6.4 activity standard~~. After the registration of the activity under the Article 6.4 mechanism, the activity participants shall create and maintain until the end of the valid crediting period of the project a window for stakeholders to comment on compliance of this tool as per the continuous engagement of stakeholders, as defined in Article 6.4 activity standard, and appeal and grievance processes under the Article 6.4 mechanism. ~~All activities—Activity participants, DOEs and the secretariat~~ will

¹ Environmental and social safeguards which are commonly observed in other international financial institutions, other UN agencies and voluntary carbon market systems.

make their documents publicly available in their respective activity view page hosted on the UNFCCC website ~~Article 6.4 mechanism website~~ as per Article 6.4 activity cycle procedure.

2.2. Applicability

13. The use of the A6.4 SD tool is mandatory for all proposed Article 6.4 activities to identify, evaluate potential risks ~~and adverse outcomes~~, adopt risk mitigation measures and demonstrate their impacts on sustainable development. This includes mandatory use for all interested CDM activities to be eligible for transition to the Article 6.4 mechanism. The A6.4 SD tool and ~~theits~~ three **A6.4 SDtool** forms² provide:
- (a) Environmental and social safeguards principles, criteria, and **do-no-harm** risk assessment requirements and action plans for the mitigation of risks and impacts;
 - (b) Guidance for identifying the sustainable development impact of proposed Article 6.4 mechanism activities and CDM activities, transitioned to the Article 6.4 mechanism;
 - (c) Steps for determining ~~the Sustainable Development Goals (SDGs)~~³ 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;
 - (e) Requirements for DOEs to be considered under the validation and verification processes.

2.3. Entry into force

14. Version 01.0 of the A.6.4 SD tool enters into force on [DD Month YYYY].

3. Normative references

15. The following referenced documents are indispensable for the application of this tool:
- (a) United Nations **Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development 17 Sustainable Development Goals** (17 SDGs);⁴
 - (b) Article 6.4 mechanism activity standard for activities (**ACPAS-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);

² Three forms include: the A6.4 Environmental and Social Safeguard Risk Assessment Form, the A6.4 Environmental and Social Management Plan Form and the A6.4 Sustainable Development Tool Form.

³ Available at: <https://www.un.org/sustainabledevelopment/blog/2015/09/historic-new-sustainable-development-agenda-unanimously-adopted-by-193-un-members/>

⁴ Available at: https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework%20after%202023%20refinement_Eng.pdf.

- (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~~ Appeal and grievance processes under the Article 6.4 mechanism.

4. Definitions

16. In addition to the definitions found in the “Glossary: Article 6.4 mechanism terms”, the following terms are applicable in this procedure:

- (a) Activity-level environmental and social indicators⁵: activity specific indicators identified during “do-no-harm risk assessment” that are required to be defined in “A6.4 Environmental and Social Management Plan”. These indicators help ensure that the activities do not cause harm to the environment or communities; Examples of activity-level environmental and social indicators for an activity that requires water consumption may include the activity-level indicator of the volume of water consumed per month/day/time period in order to ensure that water consumption does not exceed the limit indicated in the water use licence issued by the host country’s authority.
- (b) Activity-level SD indicators⁶: ~~These these~~ are activity-specific indicators aligned with the UN Sustainable Development Goals, used to monitor the Sustainable Development (SD) contribution of an Article 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:
 - (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.~~

⁵ Examples of activity-level environmental and social indicators for an activity that requires water consumption may include the activity-level indicator of the volume of water consumed per month/day/time period in order to ensure that water consumption does not exceed the limit indicated in the water use licence issued by the host party’s authority

⁶ Examples of activity-level SD indicators for a cookstove distribution activity may include:

- (a) 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;
- (b) The percentage of users reporting a reduction in smoke/particulate matter after shifting to ICS within the activity, addressing SDG 3, target 3.9;
- (c) The percentage of users reporting time savings due to reduced fuel consumption or cooking time within the activity, related to SDG 5 and its target 5.4; and/or
- (d) The average percentage of fuel savings reported by users within the activity, pertaining to SDG 12 and its target 12.2.

- ~~(ii) The percentage of users reporting a reduction in smoke/particulate matter 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) Child labour⁷: as defined by the International Labour Organization (ILO), work that deprives children of their childhood, their potential, and their dignity, and that is harmful to physical and mental development. It refers to work that: is mentally, physically, socially or morally dangerous and harmful to children; and/or interferes with their schooling by: depriving them of the opportunity to attend school; obliging them to leave school prematurely; or requiring them to attempt to combine school attendance with excessively long and heavy work; ~~work that is inappropriate for a child's age, affects children's education, or is likely to harm either their health, safety or morals.~~
- (d) Cultural heritage⁸: 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.;
- (e) Direct impact: an impact which is based on direct contribution/interaction by an activity with an environmental, social or economic component during the ~~implementation and operation and decommissioning, if applicable~~ ~~crediting period~~;
- (f) Gender equality:⁹ a fundamental human right aiming to ensure equal rights, responsibilities, and opportunities for all individuals, regardless of their gender. It encompasses economic, social, political, and cultural dimensions and aims to eliminate disparities and biases based on gender, ~~including is required to work for the~~ This includes working towards 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;
- (g) Generic assessments: conclusions provided by the activity participants in regard to the proposed activity alignment with ~~host country~~ relevant standards, industry best practices or their ~~its~~ own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.;

⁷ International Labour Organization (ILO). What is child labour. Available at: <https://www.ilo.org/international-programme-elimination-child-labour-ipecc/what-child-labour>

⁸ UNESCO. Cultural heritage. Available at: <https://uis.unesco.org/en/glossary-term/cultural-heritage>.

⁹ <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.>

- (h) ~~Host country-Party regulations: whether any regulatory requirements such as national laws and regulations that are applicable to the proposed activity established by the host country party;~~
- (i) Host Party regulations assessment: assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations;
- (j) Indigenous Peoples:¹⁰ inheritors and practitioners of unique cultures and ways of relating to people and the environment.¹¹ They have retained social, cultural, economic and political characteristics that are distinct from those of the dominant societies in which they live;
- (k) Stakeholders: the public, including individuals, groups or communities, marginalized and disadvantaged groups, women, children, older persons, persons with disabilities, minorities, and Indigenous Peoples or any other any person who may be affected or is likely to be affected, by the proposed Article 6.4 activity or PoA, or actions leading to the implementation of such an activity;
- (l) Sustainable Development Goals (SDGs): a set of 17 interlinked global goals designed to be a blueprint to achieve a better and more sustainable future for all. They were established by the United Nations in 2015 as part of the 2030 Agenda for Sustainable Development. 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;
- (m) Sustainable development objectives of a host Party: the specific goals, targets, indicators, and priorities that a country sets to achieve sustainable development within its borders. These objectives are aligned with the broader principles of sustainability, which aim to balance economic growth, social inclusion, and environmental protection. They are typically articulated in national development plans, policies, and strategies and are designed to address the unique challenges and opportunities within the country sustainable development objectives or indicators defined by host countries;
- (n) A6.4 Environmental and Social Safeguards Risk Assessment Form: a ~~management tool~~ do-no-harm risk assessment form that identifies environmental and/or social risk caused by a proposed activity;
- (o) 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 avoid and/or, where avoidance is not possible, mitigate ~~eliminate adverse unintended~~ environmental and social impacts, ~~offset~~ prevent them, and/or reduce them to acceptable levels as per host country-Party regulations. Activity participants are also encouraged to apply and/or relevant standards, industry best practices or their its own voluntary corporate policies applicable to the proposed activity, in addition to or in absence of host party regulation.

¹⁰ <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.>

¹¹ Definition provided based on UN website although there is no universal definition of Indigenous Peoples.

5. Environmental and social safeguards

17. The implementation and operation of an activity may cause negative social and environmental impacts. Environmental and social safeguards principles and criteria help an activity developer participants to identify, evaluate, prevent and mitigate unintended potential negative environmental and social impacts and risks produced by an activity in its environment during implementation and operation.
18. 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 Partycountry, 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. If harm cannot be avoided, activity participants are required to prevent and minimize identified risks and provide evidence that the activities are consistent with host party regulations by completing the A6.4 Environmental and Social safeguards risk assessment form and the A6.4 Environmental and Social Management Monitoring Plan Form 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 Partycountry regulations, activity participants are also encouraged to apply relevant standards, industry best practices and their own voluntary corporate policies in addition to or in absence of host party regulations, applicable to the proposed activity. The outcome of the assessment of environmental and social safeguards (A6.4 Environmental and Social Safeguards Risk Assessment and A6.4 Environmental and Social Management Plan) shall be shared at the local stakeholder consultation as per Article 6.4 activity standard.
19. This section provides the process for activity participants to identify, assess and mitigate potential negative social and environmental impacts, which may be caused by their activity, against the environmental and social safeguard principles/criteria. The goal is to ensure that while the activity contributes to reducing greenhouse gas emissions, it does not inadvertently cause harm to local communities, Indigenous Peoples, marginalised groups, ecosystems, or economies. This assessment aligns with the broader principles of sustainable development and safeguards the well-being of all stakeholders involved:
- (a) The activity participants shall conduct a do-no-harm risk assessment to identify possible negative environmental and social impacts from the construction implementation 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 described in section 5.1 and 5.2 Appendix 1. These eleven principles are common principles observed

from other international financial institutions, other UN agencies and voluntary carbon market systems;^{12, 13, 14, 15, 16, 17, 18, 19}

- (b) If activity participants identify that its activity has an impact on principles under the environmental and social safeguards, the activity participants shall conduct further assessment against principles according to the host ~~Party/country legal/regulatory requirements/regulations~~ applicable to the proposed activity type. If host ~~country Party~~ does not have ~~legal/regulatory requirements/regulations~~ on for one or more of the eleven principles, the ~~activity participants~~ are encouraged to ~~may~~ apply the criteria and guiding questions of the principles as per the relevant standards, ~~industry best practices and their its own voluntary corporate policies~~ that are identified by an activity in step (a) above using the A6.4 Environmental and Social Safeguards Risk Assessment Form:
- (i) The ~~do-no-harm risk assessment~~ shall compare the activity scenario to the ~~environmental and social baseline scenario(s)~~²⁰;
- (ii) The ~~do-no-harm risk 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 in Table 1 below to the individual criteria and guiding questions;~~
- (iii) The activity participants are requested to provide the ~~level of severity response to principle level questions defined under each principles as part of the do-no-harm risk assessment, for each identified principle, and if applicable, to the respective additional guiding question for each identified principle defined in Appendix 1, as part of the do-no-harm risk assessment. The different levels of response are classified in as per Table 1 below.~~

¹² Gold Standard (2023) Safeguard Principles & Requirements. Available at: https://globalgoals.goldstandard.org/standards/103_V2.0_TC_PAR_Safeguarding-Principles-Requirements.pdf

¹³ GCF (2023). Environmental and social safeguards. <https://www.greenclimate.fund/activity/sustainability-inclusion/ess>

¹⁴ UNEP (2020). UNEP environmental, social and sustainability framework. Available at: <https://www.unep.org/resources/report/un-environments-environmental-social-and-economic-sustainability-framework>

¹⁵ World Bank (2016). Environmental and Social Framework (ESF). Available at: <https://www.worldbank.org/en/activity-operations/environmental-and-social-policies>

¹⁶ FAO (2022). Framework for Environmental and Social Management. Available at: <https://www.fao.org/3/cb9870en/cb9870en.pdf>

¹⁷ 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

¹⁸ IADB (2020). Environmental and Social Policy Framework. Available at: <https://blogs.iadb.org/sostenibilidad/en/espaf-environmental-and-social-policy-framework-in-a-nutshell/>

¹⁹ WWF (n.d.). Environmental and Social Safeguards (ESS). Available at: <http://assets.worldwildlife.org/publications/844/files/original/SafeguardsonepagerFINAL.pdf>

²⁰ Environmental and social conditions in the absence of the proposed activity.

(iv) The principles' severity level is classified as per table 1:

Table 1. Possible responses in the do-no-harm risk assessment for principle-level questions and additional guiding questions

Response	Description	Guidance
Yes	If negative impacts exist for certain principles or if the activity, during its implementation, operations and decommissioning if applicable, fails to meet the national legal/regulatory requirements, host party regulations 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 A6.4 environmental and social management plans/ safeguards risk assessment form. In addition to host party regulations, activity participants are encouraged to apply relevant standards, industry best practices and their own voluntary corporate policies. In case of lack of legal/regulatory requirements of the host party/country regulations, the activity participants are also encouraged to may take relevant standards, industry best practices and their its own voluntary corporate policies of the organization to assess if the aspects are harmful.
Potentially	This means that the risk or expected impact/issue may be relevant at some point in the activity's cycle during its implementation, operation and decommissioning if applicable, but is not necessarily relevant now and/or may never arise. national	The requirements apply but the activity participants may justify with evidence why these requirements do not need to be demonstrated as being met. The activity participants shall update information on any assessment questions answered with 'potentially' for each monitoring report.
No	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.
NA	This means that the question is not relevant to the activity and its potential impact.	Activity participant areis required to justify exclusion of any principles.

(c) The respective additional guiding questions are defined under each eleven principles except "Principle 1: Climate and energy" and "Principle 10: Corruption". If an answer for the principle's level question is either "Yes" or "Potentially", the

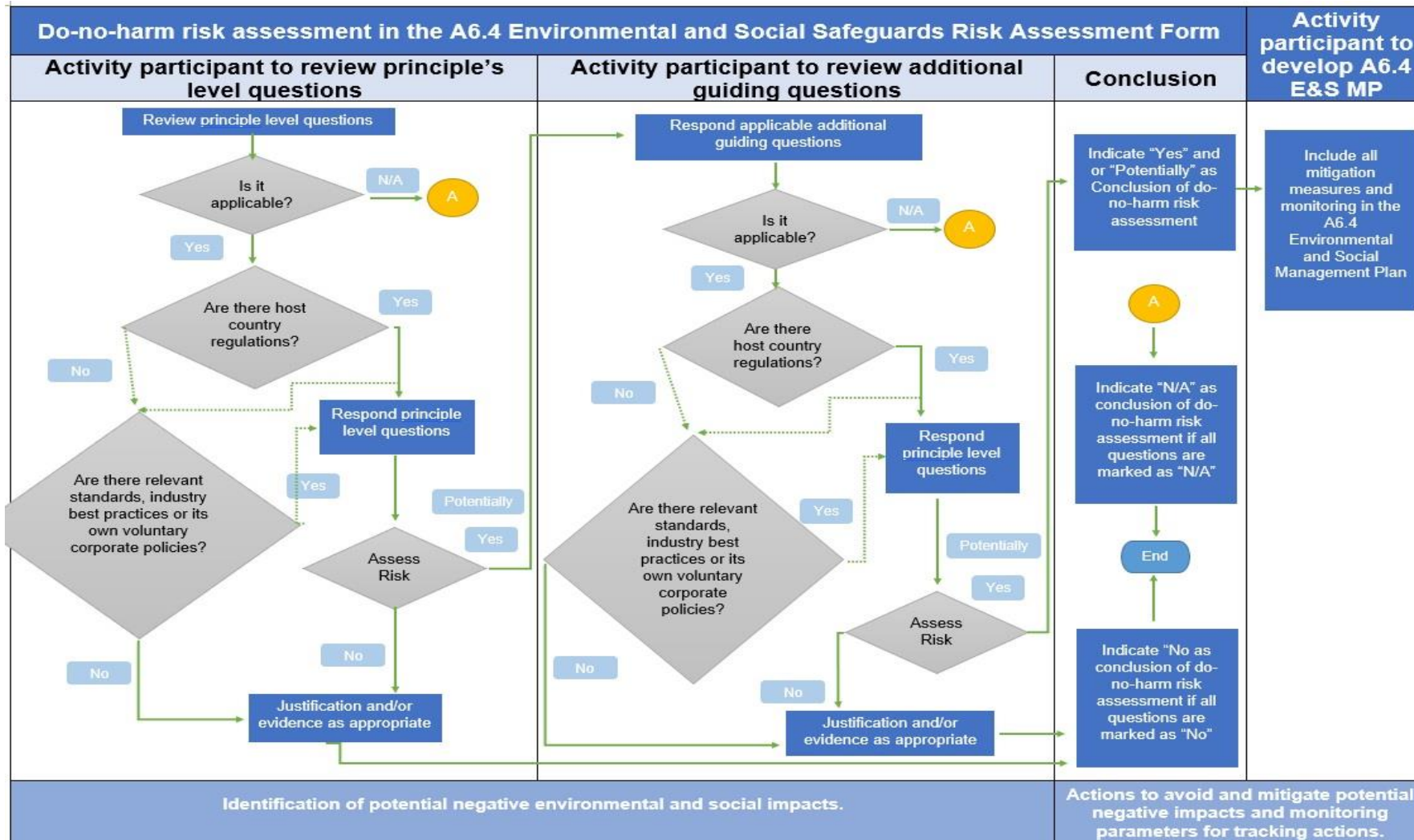
activity participants are required to go to the respective additional guiding questions as shown in Table 2 below.

Table 2. Possible responses in the do-no-harm risk assessment for principle-level questions and additional guiding questions

Principle	Principle Level Question (PLQ)	Additional Guiding Question (AGQ)
1: Climate and energy	PLQ 1.1	
	PLQ 1.2	
2: Air, land and water	PLQ 2.1.a	AGQ 2.1.1-1, AGQ 2.1.1-2
	PLQ 2.1.b	AGQ 2.1.2
	PLQ 2.2.a	AGQ 2.2.1-1, AGQ 2.2.1-2, AGQ 2.2.3, AGQ 2.2.4,
	PLQ 2.2.b	AGQ 2.2.2
	PLQ 2.3	AGQ 2.3.1, AGQ 2.3.2-1, AGQ 2.3.2-2, AGQ 2.3.3, AGQ 2.3.4
3: Ecology and natural resources	PLQ 3	AGQ 3.1.1, AGQ 3.2.1, AGQ 3.2.2-1, AGQ 3.2.2-2, AGQ 3.2.3, AGQ 3.2.4-1, AGQ 3.2.4-2, AGQ 3.2.5, AGQ 3.2.6, AGQ 3.2.7, AGQ 3.3.1
4: Human rights	PLQ 4a	AGQ 4.1-1, AGQ 4.1-2, AGQ 4.1-3
	PLQ 4b	
5: Labour	PLQ 5	AGQ 5.1, AGQ 5.2, AGQ 5.3, AGQ 5.4, AGQ 5.5, AGQ 5.6, AGQ 5.7
6: Health and safety	PLQ 6	AGQ 6.1-1, AGQ 6.1-2, AGQ 6.1-3, AGQ 6.1-4, AGQ 6.1-5, AGQ 6.1-6, AGQ 6.1-7, AGQ 6.2, AGQ 6.3,
7: Gender equality	PLQ 7	AGQ 7.1-1, AGQ 7.1-2, AGQ 7.2-1, AGQ 7.2-2, AGQ 7.2-3, AGQ 7.2-4, AGQ 7.2-5
8: Land acquisition and involuntary resettlement	PLQ 8	AGQ 8.1, AGQ 8.2-1, AGQ 8.2-2, AGQ 8.3, AGQ 8.4
9: Indigenous Peoples	PLQ 9	AGQ 9.1, AGQ 9.2-1, AGQ 9.2-2, AGQ 9.3, AGQ 9.4, AGQ 9.4, AGQ 9.5, AGQ 9.6-1, AGQ 9.6-2
10: Corruption	PLQ 10	
11: Cultural heritage	PLQ 11a	AGQ 11.1, AGQ 11.2-1, AGQ 11.2-2, AGQ 11.2-3
	PLQ 11b	AGQ 11.3-1, AGQ 11.3-2, AGQ 11.3-3, AGQ 11.3-4, AGQ 11.3-5

- (d) Based on the outcome of the do no harm risk assessment, the activity participants shall develop A6.4 Environmental and Social Management Plan in order to avoid, where complete avoidance of risk is not possible, reduce and address identified potential negative impacts. It will define and provide:
- (i) ~~Desired outcomes and a~~ Actions to address and mitigate potential negative environmental and social impacts in the do-no-harm risk assessment process;
 - (ii) Monitoring parameters for tracking actions 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 and/or qualitative in nature;
 - (iv) Safeguard communication channel maintained by activity participants to offer local stakeholders an effective avenue for expressing concerns and achieving remedies and promote a mutually constructive relationship during 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”;
- (e) Activity participants are required to propose measures and actions to address identified/potential negative impacts in accordance with the host country party regulations or requirements applicable to the proposed activity;
- (f) A6.4 Environmental and Social Management Plan shall be validated by a designated operational entity (DOE) during registration, and Activity participants shall report the outcome of monitoring for of activity-level environmental and social indicators a monitoring period as per A6.4 Environmental and Social Management Plan in the monitoring report, including any records of a safeguard communication channel, that shall be verified by a DOE.
20. Figure 1 below summarizes the do-no-harm risk assessment to be completed in A6.4 Environmental and Social Safeguards Risk Assessment Form and preparation of Environmental and Social Management Plan, as presented in paragraph 33 above.

Figure 1. Do-No-Harm Risk Assessment flow chart



5.1. Environmental and social safeguards principles

21. The environmental and social safeguards principles are shown in table 2-3 below. The definition of each principle and relevant criteria are introduced in section 5.2 below.

Table 3.2. Environmental and social safeguards principles

Safeguard principles		
Environmental	Principle 1	Climate and Energy
	Principle 2	Air, land and water
	Principle 3	Ecology and natural resources
Social	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 Peoples
	Principle 10	Corruption
	Principle 11	Cultural heritage

5.2. Environmental safeguards principles and criteria

5.2.1. Principle 1: Climate and energy

22. The proposed activity shall not increase greenhouse gas (GHG) emissions over the GHG baseline scenarios (unless this is specifically allowed by the applied/approved Article 6.4 methodology).

23. Activities shall also not affect the availability and reliability of the energy supply to other users.²³

Principle 1 (Climate and energy) criteria:

24. P1.1: Climate: Activity shall not increase GHG emissions over the GHG baseline scenario unless this is specifically allowed within the activity-applicable approved methodology.

25. P1.2: Energy: Activity shall not affect the availability and reliability of the energy supply to other users.²⁴

5.2.2. Principle 2: Air, land and water

26. The proposed activity shall avoid releasing any pollutants to air, land and water. This includes hazardous and/or non-hazardous pollutants in the solid, liquid or gaseous phases. This principle covers all forms of environmental degradation, including, but not

²³ Including, for example, curtailment and/or diversion of renewable energy supply away from users and into mitigation activities.

²⁴ Including, for example, curtailment and/or diversion of renewable energy supply away from users and into mitigation activities

limited to thermal discharge to water, emissions of short-lived and long-lived climate pollutants, plastics, biomedical waste, nuisance odours, noise, vibration, radiation, electromagnetic energy, excessive water consumption and water discharge, and the creation of potential visual impacts, including light pollution.

Principle 2 (Air, land and water) criteria:

P2.1 Air

27. P2.1.1: The activity participants shall avoid the release of pollutants to air. When complete avoidance is not technically and financially feasible, the activity participants shall minimize and/or control the intensity and mass flow of their release in accordance with host country party 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. A6.4 activities involving carbon dioxide removal methods that entail the release or discharge of materials into the environment shall take appropriate measures to minimize control air pollution risks.

P2.1.2: Where historical pollution²⁵ such as air contamination exists, the activity participants shall seek to determine whether it is responsible for mitigation measures. Activity participants should use historical records, ongoing monitoring, and reporting through data logging of physical measurements, online sources and government data. If it is determined that the activity participants are legally responsible, then these liabilities will be resolved in accordance with host party regulations (national law, or where this is silent, in accordance with subnational or local regulations). Mitigation measures shall be defined and implemented in coordination with national and local government agencies, stakeholders, 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.

P2.2 Land²⁶

28. P2.2.1: The proposed activity participants shall avoid the release of pollutants to land. or, When avoidance is not technically and financially feasible,²⁷ the activity participants shall minimize and/or control the intensity and mass flow of their release in accordance with host country party 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. A6.4 activities involving carbon dioxide removal methods that entail the release or discharge of materials onto or into land shall take appropriate measures to control soil contamination risks.

29. P2.2.2: Where historical pollution such as land contamination exists, the activity participants shall seek to determine whether it is responsible for mitigation measures. If it

²⁵ Historical pollution refers to any level of effect into air, soil and water not consistent with host party country regulations and/or relevant standards, industry best practices and obligations in the site where the proposed activity will take place.

²⁶ Land considers land, soil and subsoil and surfaces.

²⁷ 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.

is determined that the activity participants ~~are~~ legally responsible, then these liabilities will be resolved in accordance with national law, or where this is silent, in accordance with subnational or local regulations. Mitigation measures shall be defined and implemented 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.~~

30. P2.2.3: The activity participants shall demonstrate that measures will be undertaken to ensure that the soil and land use, as well as surface and groundwaters are protected from erosion and that these measures are in place prior to the commencement of the activity.
31. P2.2.4: The activity participants shall identify the functions and services provided by the landscape and demonstrate no degradation of soil resources and loss of ecosystem services provided by soils.
32. P2.2.5: ~~For a~~Activities that involve the production, harvesting and/or management of living natural resources by ~~small-scale landholders and/or~~ local communities,²⁸ the activity participants shall adopt appropriate and culturally sensitive sustainable resource management practices.²⁹

P2.3: Water

33. P2.3.1: The ~~proposed~~ activity participants shall ~~ensure~~promote the sustainable and efficient use of water resources to avoid ~~negative~~adverse impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes.
34. P2.3.2: The activity participants shall avoid the release of pollutant to water. ~~or, w~~When ~~complete~~ avoidance is not ~~technically and financially~~ feasible, the activity participants shall minimize and/or control the intensity and mass flow of their release in accordance with host ~~country-party~~ 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.³⁰ A6.4 activities that include carbon storage in proximity to groundwater resources, or carbon dioxide removal methods that entail the release or discharge of materials into the environment, shall take ~~appropriate~~ measures to control water pollution risks.
35. P2.3.3: When the proposed activity is a potentially significant consumer of water, in addition to applying the resource efficiency requirements of this principle, the activity participants shall adopt measures that avoid or reduce water usage so that the activity's water consumption does not have significant ~~adverse-negative~~ impacts on people and biodiversity in terms of availability, ~~accessibility~~, reliability and quality as the same level to the ~~environmental and social~~ baseline. These measures include, but are not limited to, the use of additional, technically ~~and economically~~ feasible water conservation measures, the use of alternative water supplies, the reuse of water, ~~water consumption offsets to reduce~~

²⁸ ~~Small-scale landholders and/or~~ Local communities may include Indigenous Peoples.

²⁹ Culturally sensitive sustainable resource management practices based on meaningful consultation and participation of rights-holders who will be impacted by the activity.

³⁰ Transboundary pollutants include those covered under the Convention on Long-Range Transboundary Air Pollution.

~~total demand for water resources to within the available supply, and evaluation of alternative activity locations and relocation, as appropriate.~~

36. P.2.3.4: The activity participants shall implement technically and financially feasible and cost-effective measures for improving efficiency in its consumption of water, with a focus on ~~these~~ areas of the proposed activity(ies).

~~37. P.2.3.5: The activity shall ensure that water resources covering surface water and ground water are conserved.~~

5.2.3. Principle 3: Ecology and natural resources

38. ~~The~~ Activity participant shall consider the direct, indirect and cumulative³¹ activity-related impacts on habitats and the biodiversity they support. ~~Activity participant~~ shall also consider 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

39. P3.1.1: The activity participants shall ensure a precautionary approach³² to natural resource conservation, including soil, minerals and other depletable natural resources, and avoid negative environmental impacts ~~throughout the implementation and operation and decommissioning, if applicable.~~

P3.2 Biodiversity

40. P3.2.1: The activity participants shall ensure ecosystem functions are maintained to secure the benefits of ecosystem services.

41. P3.2.2: The activity participants shall protect, and conserve terrestrial, freshwater, coastal and marine biodiversity.

42. P3.2.3: The activity shall maintain or enhance biodiversity and ecosystem functionality in areas where improved forest management is undertaken.

43. P3.2.4: The activity shall not lead to the reduction/negative impact ~~on any population of any recognized endangered, vulnerable or critically endangered species~~³³.

44. P3.2.5: Habitats of endangered species shall be specifically identified and managed to protect or enhance them.

³¹ Cumulative impacts: Impacts that result from incremental changes caused by other part, present or reasonably foreseeable action together with the project.

³² The objective of precautionary approach is prevention rather than remediation and a precautionary approach is an approach to uncertainty and provides for precautionary actions to avoid serious or irreversible environmental harm in advance of scientific certainty of such harm.

³³ As per the International Union for Conservation of Nature (IUCN) Red, there is listed Red List of Threatened Species of Threatened Species.

45. P 3.2.6: The activity shall not introduce any alien species³⁴ (not currently established in the country or region of the project) into new environments. The activity participants project shall implement measures to avoid the potential for accidental or unintended introductions alien species, including the transportation of substrates and vectors (such as soil, ballast and plant materials) that may harbour alien species.
46. P3.2.7: Where alien species are already established in the country or region of the proposed activity project, the activity participants developer shall exercise diligence and take preventive steps to ensure they are not spreading them into areas in which they have not already been established.

P3.3 Critical habitats³⁵

47. P3.3.1: An activity that potentially impacts habitats identified as critical habitats shall be implemented only when it meets the following three prerequisites:
- (a) The risk of the activity negatively impacting the catchment in the project area and risks impacting activity success shall be assessed and addressed to ensure its ongoing, long-term viability and impact on surrounding High Conservation Value³⁶ and ecological assets;
 - (b) There are no measurable negative 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
 - (c) A robust, appropriately designed, and long-term habitats and biodiversity action plan is in place to achieve net gains in those biodiversity values for which the critical habitat was designated as per host party regulation.

³⁴ A species occurring in an area outside of its historically known natural range as a result of intentional or accidental dispersal by human activities (also known as an exotic or introduced species). Source: [UNEP-WCMC](#)

³⁵ 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.

³⁶ High Conservation Value (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. (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.)

5.3. Social safeguards principles/criteria

5.3.1. *Principle 4: Human rights*

48. Human rights constitute an overarching legally binding framework that informs and guides all environmental and social safeguards. These rights, enshrined in national laws and/or international treaties such as the Universal Declaration of Human Rights³⁷, establish fundamental standards to ensure dignity, equality, and justice for all. Consequently, the implementation of environmental and social safeguards within project activities must align with and uphold these human rights principles. Additionally, Human rights are central for sustainable development, poverty alleviation and ensuring fair distribution of development opportunities and benefits. ~~The activity participant shall respect to international human rights regarding 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.
49. Activity participants shall commit to the Universal Declaration of Human Rights by carrying out human rights' due diligence for the proposed A6.4 activity. Activity participants shall identify, prevent and mitigate actual or potential adverse human rights impact caused by the proposed activity during the human rights' due diligence.

Principle 4 (Human rights) criteria:

50. P4.1: Activity participants shall ensure that the proposed A6.4 activity, during its implementation and operation, does not undermine the national or regional measures for the realization of the human rights including those related to sustainable development.
- ~~51. Activity participants shall commit to the Universal Declaration of Human Rights. An activity shall respect participation and inclusion and is also not to undermine the national or regional measures for the realization of the right to development.~~

5.3.2. *Principle 5: Labour*

52. Proposed activities shall result in promote employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth while activity participants shall ensure safe and healthy labour and working conditions according to the host party regulations applicable to the proposed activity. ~~To promote safe and healthy 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;~~

³⁷ [Universal Declaration of Human Rights.](#)

~~(e) Supporting the principles of freedom of association and collective bargaining of project workers in a manner consistent with national law;~~

~~(f) Providing project workers with accessible means to raise workplace concerns.~~

~~(g) Avoiding exposure to increased health risks (e.g. pollution, contaminated areas/resources) and disease and the proposed A6.4 activity shall not adversely affect the health of the workers.~~

Principle 5 (Labour) criteria:

~~53. The proposed activity shall aim to promote safe and healthy labour and working conditions.~~

54. P5.1 The ~~proposed~~ activity participants shall ~~ensure~~ promote education programmes for local communities to access labour opportunities created by the proposed activity.

55. P5.2: The ~~proposed~~ activity participants shall ~~ensure~~ promote the fair treatment, non-discrimination and equal opportunity of activity workers.

56. P5.3: The ~~proposed~~ activity participants shall 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.

57. P5.4: The ~~proposed~~ activity participants shall ~~prevent~~ ensure ~~no~~ the use of all forms of forced labour³⁸ and child labour.

58. P5.5: The ~~proposed~~ activity participants shall support the principles of freedom of association and collective bargaining of activity workers in a manner consistent with national law.

59. P5.6: The ~~proposed~~ activity participants shall provide activity workers with accessible means to raise workplace concerns.

60. P5.7: The ~~proposed~~ activity participants shall put measures in place to protect workers from ~~any~~ 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.

5.3.3. Principle 6: Health and safety

61. The activity participants shall evaluate the risks and impacts on the health³⁹ and safety of the affected communities during the implementation and operation of the proposed activity, including those who, because of their circumstances, may be vulnerable. This principle refers to how proposed activities may cause community exposure to health and safety risks and impacts.

Principle 6 (Health and safety) criteria:

62. 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 community.

³⁸ 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.

³⁹ Health encompasses the social, mental and physical well-being and not merely the absence of disease or infirmity ([WHO](#)).

63. P6.2: The activity participants shall undertake appropriate health and safety assessment while considering safety risks to communities. They shall adopt appropriate avoidance, minimization, and mitigation measures following host party regulations, national legal requirements, good international practice⁴⁰ and favouring the prevention or avoidance of risks and impacts over their minimization and reduction. and Additionally, they shall ensure accidents or incidents associated with the activity are appropriately recorded, reported and addressed, and that emergency preparedness and response plans are in place.
64. P6.3: The health and safety assessment and adopted management measures shall take into account differences in risk exposure and a gender-sensitive approach, as well as marginalized and disadvantaged groups, including children, older persons, persons with disabilities, minorities, and Indigenous Peoples.

5.3.4. Principle 7: Gender equality

65. The activity participants shall identify 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.

Principle 7 (Gender equality) criteria:

66. P7.1: The activity participants shall avoid reinforcing gender-based discrimination and shall not lead/contribute to adverse impacts on gender equality and/or the situation of women and girls in all their diversity.
67. P7.2: The activity participants shall apply the principles of non-discrimination, equal treatment and equal pay for equal work.

5.3.5. Principle 8: Land acquisition and involuntary resettlement⁴¹

68. 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 including 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. The activity participants shall make efforts to avoid involuntary resettlement. 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 consulted, planned and implemented.

Principle 8 (Land acquisition and involuntary resettlement) criteria:

69. P8.1: The activity participants shall avoid involuntary resettlement.
70. P8.2: When physical displacement (i.e., relocation or loss of shelter) cannot be avoided, the activity shall mitigate the displacement impacts and risks of the displaced persons and host communities to at minimum least restore the livelihoods and/or living standards to pre-

⁴⁰ For example, the International Finance Corporation Environmental, Health and Safety Guidelines, available at: <http://www.ifc.org/ehsguidelines>.

⁴¹ Involuntary resettlement refers to a scenario when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

project levels. If the proposed activity involves Indigenous Peoples, their free, prior and informed consent (FPIC) must be obtained in accordance with the section 5.3.6 of Principle 9 and the principle's criteria of P9.5.

71. P8.3: The activity participants shall mitigate impacts and risks of economic displacement (loss of land, assets, or access to assets, leading to loss of income sources or other means of livelihood), when economic displacement cannot be avoided.
72. P8.4: The activity participants shall conduct a census and a socioeconomic baseline survey to identify all affected individual, group or community who will be physically or economically displaced. A resettlement action plan and/or livelihood action plan shall be integrated into the A6.4 Environmental and Social Management Plan Form 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](#)), in full consultation with the affected individual, group or community and based on good faith negotiation. Resettlement understandings reached by the activity participants and with affected individual, group or community should be reflected in written agreements.

5.3.6. **Principle 9: Indigenous Peoples**

73. The activity participants shall 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. The activity participants shall recognize the Indigenous legal systems which are those that are recognized under national laws host party regulations. In the absence of host party regulations such laws, Indigenous legal systems based on the international law will be recognized if they are consistent with applicable national legislation. The activity participants should 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, the activity participants should take into account that Indigenous Peoples may play a role in sustainable development by often promoting, owning and managing activities and enterprises as partners in development.

Principle 9 (Indigenous Peoples) criteria:

74. P9.1: Activity participants shall identify all communities of Indigenous Peoples within the activity area of influence boundary who may be affected by the activity and treat them with respect, sensitivity, and transparency and ensure that Indigenous Peoples are fully informed and voluntarily participating in the identification process.
75. P9.2: The activity participants, with the full and effective participation of Indigenous Peoples involved, shall carry out an environmental and social analysis of the activities that may affect or involve Indigenous Peoples by completing the A6.4 Environmental and Social Safeguards Risk Assessment Form. Adequate resources for full and effective participation of Indigenous Peoples should be provided. The analysis shall include the potential impacts on their rights, lands, territories, gender relations, resources, culture, cultural heritage, and other potentially intangible impacts on Indigenous Peoples.

76. P9.3: The activity shall not result in the forcible removal of Indigenous Peoples from their lands and territories. No relocation shall take place without the FPIC⁴² of the Indigenous Peoples concerned. FPIC must be documented as well as in the agreements reached in the good faith dialogues, consultations and negotiations with the Indigenous Peoples.
77. P9.4: The activity participants 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.
78. P9.5: The activity participants shall respect, protect and conserve and shall not take-the cultural, intellectual, religious and/or spiritual property of Indigenous Peoples and shall not access or utilize it without their FPIC⁴³. FPIC must be obtained when there are impacts on (i) the territory or land;⁴⁴ (ii) cultural heritage;⁴⁵ or (iii) places containing sacred elements of special value for the community. FPIC must be documented both within the process as well as in the agreements reached in the dialogues and consultations and ultimately through good faith negotiation with the Indigenous Peoples.
79. P9.6: The activity participants shall ensure that Indigenous Peoples are provided with the equitable sharing of benefits to be derived from utilization and/or commercial development of natural resources on lands and territories or the use of their traditional knowledge and practices by the activity. This shall be done through good faith negotiation 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.

5.3.7. *Principle 10: Corruption*

80. Activity participants and any involved stakeholders shall avoid, prevent, detect, and respond to corruption while during the designing, development, implementation and operation of the proposed activity. Corruption has negative impacts on every aspect of society by diverting essential resources that are needed to alleviate lift people out of poverty, improve enhance health outcomes, and ensure that provide children have access to awith quality education.

⁴² 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/>.

⁴³ FPIC is an ongoing process that involves regular and open dialogue, ensuring that Indigenous Peoples have all necessary information and the capacity to participate fully and effectively. This process, along with any agreements reached, must be clearly documented, reflecting a commitment to good faith negotiation and the acknowledgment of Indigenous Peoples' rights and autonomy.

⁴⁴ Impacts on territories or land shall be considered in conjunction with requirements in Principle 8 (Land acquisition and involuntary resettlement) of this tool.

⁴⁵ Impacts on cultural heritage shall be considered in conjunction with requirements in Principle 11 (Cultural heritage) of this tool.

Principle 10 (Corruption) criteria:

~~81. P 10.1: The activity participants shall not involve, be complicit in or inadvertently contribute to or reinforce corruption or corrupt practices. Activity participants shall prevent, detect and respond to corruption during all the activity cycle.~~

5.3.8. Principle 11: Cultural heritage⁴⁶

82. Activity participants shall avoid impacts on cultural heritage. When avoidance of impacts is not possible, it will identify and implement measures to address impacts on cultural heritage by completing A6.4 Environmental and Social Safeguards Risk Assessment Form and the A6.4 Environmental and Social Management Plan.

Principle 11 (Cultural heritage) criteria:

83. P11.1: The activity shall not ~~cause, nor contribute to involve or be complicit in~~ the alteration, damage or removal of any sites, objects or structures of critical cultural heritage.

84. P11.2: The activity participants ~~are~~ 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 implementation~~ or operations. The activity participants will not proceed with the activity until an assessment by professionals and/or an entity on cultural heritage, recognized by the host government, ~~and/or academia and/or UNESCO⁴⁷~~, is made to ensure that no adverse impacts to cultural heritage will occur. If the proposed activity involves Indigenous Peoples, FPIC must be obtained in accordance with section 5.3.6 of principle 9 and the P9.5 criteria.

85. P11.3: 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,⁴⁸ the scope and nature of the proposed commercial development, and the potential consequences of such development.

6. Demonstrating impact to sustainable development

86. Activity participants shall demonstrate the direct impact⁴⁹ of their Article 6.4 activities and/or Article 6.4 PoAs to the sustainable development of the host ~~country party~~(ies) through reference to the host ~~country party~~(ies) sustainable development priorities/objectives referred in the section 6.1 and SDGs in the section 6.2 by completing the A6.4 Sustainable Development Tool Form.

⁴⁶ 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.

⁴⁷ UNESCO expert facility. Available at: <https://www.unesco.org/creativity/en/expert-facility>

⁴⁸ 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.

⁴⁹ 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.

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

87. Activity participants shall identify the host ~~country's~~ Party'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.
88. If the host ~~country~~ Party 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 shall include them in the A6.4 Sustainable Development Form.

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

89. The 17 SDGs were established by the United Nations in 2015 as part of the 2030 Agenda for Sustainable Development. The global indicator framework for Sustainable Development Goals developed by the Inter-Agency and Expert Group on SDG Indicators (IAEG-SDGs) was later adopted by the General Assembly on 6 July 2017. The 'Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development⁵⁰' provides 17 SDGs, 169 targets and 249 indicators.
90. Activity participants shall identify the SDGs relevant to the proposed activity type, that the proposed activity will have positive and/or negative impacts on and provide justification of any excluded SDGs keeping in mind the sustainable development priorities/objectives of the host party considered in section 6.1 and the criteria defined in the paragraph 95 below. In the assessment of negative impacts to the 17 SDGs, the activity participants may refer to the outcome of the section 5 of this tool.:
91. Activity participants are required to assess the activity against each of 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;
92. 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.
93. Identification of impact to sustainable development
94. Activity participants shall identify and list the likely, direct and significant impacts to sustainable development, resulting from the proposed activity, keeping in mind the local and national context.
95. Impacts to the SDGs and their goals sustainable development shall:
- Be applicable to the activity type (environmental, economic and social contribution based on SDGs targets and indicators);
 - Result in a direct and significant primary impact (i.e. the activity is the main driver of change);

⁵⁰ The latest "Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development" is available at <https://unstats.un.org/sdgs/indicators/indicators-list/> in six official languages of the UN.

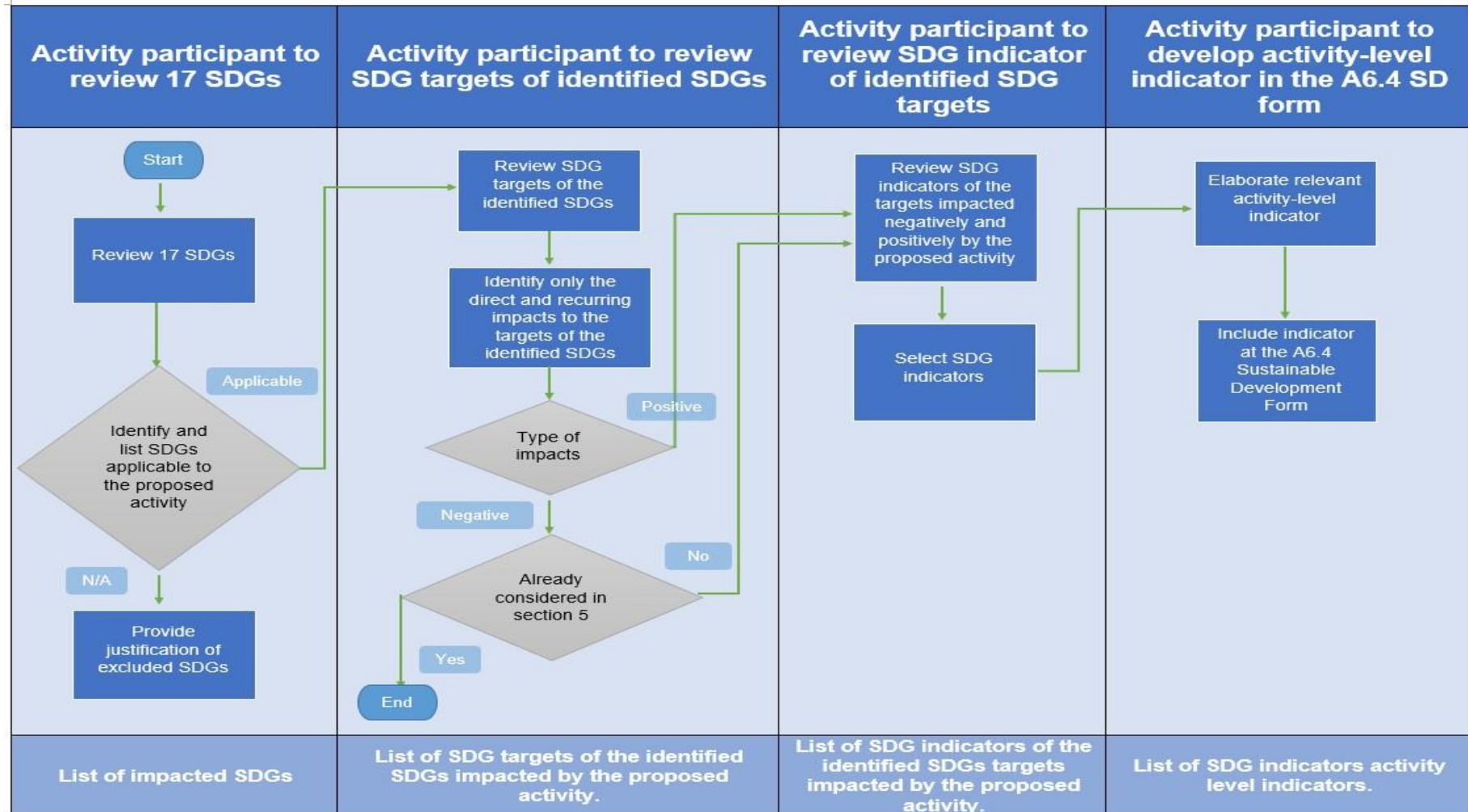
- (c) Be ~~significant by~~ recurring/lasting during ~~at least the whole~~ crediting period of a proposed activity and impacting the ~~primary~~ stakeholders and/or local environment in a direct and measurable way. ~~Significance is a subjective term and should therefore be assessed at the activity level based on the magnitude of impact as measured by an indicator and subsequently monitored and validated and verified by a DOE.~~

96. Once activity participants identify SDGs impacted by a proposed activity, they are required to:

- (a) Review respective targets defined under the identified SDGs from the latest 'Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development'.
- (b) Select a target(s) under the SDGs based on the criteria defined in the paragraph 9595 above;
- (c) Review indicators defined under a selected target(s) under the identified SDGs and select a relevant indicator(s). Considering that the indicators are defined at the regional and national levels, activity participants are required to develop its own activity-level SD indicators as per the section 6.2.1 below.

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Figure 2. Diagram for demonstrating impact to SDGs



Based on the assessment of both positive and negative impacts to 17 SDGs of a proposed activity, an activity participant is required to conduct a qualitative assessment to identify possible synergies and trade-offs with 17 SDGs in order to conclude overall impacts on the SDGs. In order to help an activity participant to identify possible synergies and trade-offs with 17 SDGs, the table below from the Intergovernmental Panel on Climate Change (IPCC) provides synergies and trade-off of sectoral and system mitigation options with 17 SDGs. In the assessment of negative impacts to the 17 SDGs, the activity participant may refer to the outcome of the section 5 of this tool. For example, table 16 below indicates that wind energy activities have both trade-offs and synergies with SDG 2, 12, 14 and 15 due to the type of land occupied by wind power activity (SDG 2), materials used in wind turbines (SDG 12) and location of wind power activities either in offshore (SDG 14) or onshore (SDG 15). The negative impact of wind energy activities on SDG 14 and 15 may include the outcome of the assessment of principle 2 (air, land and water) and principle 3 (ecology and natural resources) in section 5 of this tool. Further, the activity participant may not consider negative impacts to SDG 12 due to materials used in wind turbines since the scope of the negative impact in this tool is based on the impact arising from the implementation and operation of the proposed activity.

Table 16. Trade-offs and synergies between sectoral mitigation options and SDGs

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6.2.1. Developing activity-level SD indicators

97. Activity participants shall take the following steps to establish activity-level sustainable development indicators for each identified direct ~~and significant~~ impact to ~~the~~ 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. All relevant SDG target and corresponding indicator(s) for each SDG should be chosen (see Table ~~1864~~ below);
 - (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;⁵¹
 - (ii) Be ~~primarily~~ directly impacted by the activity;
 - (iii) Not be a one-off/only once; and
 - (iv) Include the monitoring approach and parameters, including frequency of monitoring, to be used for each selected activity-level SDG target indicator defined in the A6.4 Sustainable Development Form.

Table ~~174~~. Example of defining activity-level sustainable development indicator

Sustainable Development Goal (SDG)	SDG target	SDG indicator	Activity-level sustainable development indicator
Goal 1. End poverty in all its forms everywhere (for renewable energy activity or low greenhouse gas emitting safe drinking water production system implementation activity)	1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and	1.4.1 Proportion of population living in households with access to basic services	Proportion of population living in households within activity area with access to basic services ⁵² (drinking water & modern energy)

⁵¹ United Nations-level SDGs, targets and indicators: <https://unstats.un.org/sdgs/indicators/indicators-list/>.

⁵² <https://sdg-indikatoren.de/en/1-4-1/> provides basic services defined in 1.4.1.

Sustainable Development Goal (SDG)	SDG target	SDG indicator	Activity-level sustainable development indicator
	financial services, including microfinance		
Goal 5. Achieve gender equality and empower all women and girls (all activity types)	5.1 End all forms of discrimination against all women and girls everywhere	5.1.1 Whether or not legal frameworks are in place to promote, enforce and monitor equality and non-discrimination on the basis of sex	Whether or not an activity participants hashave put in place a policy or gender action plan to ensurepromote , enforce and monitor equality and discrimination on the basis of sex in accordance with the host country party regulations. Activity participants are also encouraged to apply er relevant standards, industry best practice and their ts own voluntary corporate policies .
Goal 5. Achieve gender equality and empower all women and girls (for high efficiency biomass-fired cookstove activity)	5.4 Recognize and value unpaid care and domestic work through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate	5.4.1 Proportion of time spent on unpaid domestic and care work by sex, age and location	Average time saving associated with cooking time and fuel collection
Goal 6. Clean Water and sanitation (for low greenhouse gas)	6.1 By 2030, achieve universal and equitable access to safe and	6.1.1 Proportion of population using safely managed drinking water services	Total number of populations served with satisfactory level of safe water

Sustainable Development Goal (SDG)	SDG target	SDG indicator	Activity-level sustainable development indicator
emitting safe drinking water production system implementation activity)	affordable drinking water for all		
Goal 7. Ensure access to affordable, reliable, sustainable and modern energy for all (for the renewable energy activity)	7.1 By 2030, ensure universal access to affordable, reliable and modern energy services	7.1.1 Proportion of population with access to electricity	Total number of populations served with access to electricity
SDG8. Decent work and economic growth (for the methane recovery activity from the animal manure management activity)	8.5 By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value	8.5.1 Average hourly earnings of female and male employees, by occupation, age and persons with disabilities status	Number of full-time jobs created for males and females by the project Percentage of the activity employees with salaries equivalent to the average wage of a country
SDG 8. Decent work and economic growth	8.8 Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment	8.8.2 Level of national compliance with labour rights (freedom of association and collective bargaining) based on International Labour Organization textual sources and national legislation, by sex and migrant status	Level of compliance by the A6.4 activity with labour rights (freedom of association and collective bargaining) based on host country party regulations
Goal 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	Amount of GHG emissions avoided or sequestered as a result of the activity per year in tCO _{2e}

Sustainable Development Goal (SDG)	SDG target	SDG indicator	Activity-level sustainable development indicator
		plans and adaptation communications, as reported to the secretariat of the United Nations Framework Convention on Climate Change 13.2.2 Total greenhouse gas (GHG) emissions per year	

~~98. 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 as per the Article 6.4 mechanism activity cycle procedures and the Article 6.4 mechanism activity standards.~~

6.3. Monitoring description/requirement of activity-level SD indicators

99. The activity participants 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).

100. Once activity participants complete the A6.4 Sustainable Development form, the outcome (including the form) must be shared with the DOE performing validation as per the A6.4 mechanism activity cycle procedures and the A6.4 mechanism activity standards. Activity participants shall report the outcome of monitoring of activity-level SD indicators as per A6.4 Sustainable Development Form in the monitoring report that shall be verified by a DOE.

7. Validation

101. While the requirements relating to validation for Article 6.4 mechanism projects/PoAs is set out in the Article 6.4 validation and verification standard for projects/PoA, the DOE shall also validate the appropriateness, relevance and sufficiency of information provided in the A6.4 Environmental and Social Safeguards Risk Assessment Form and the A6.4 Environmental and Social Management Plan by reviewing stakeholder consultation

documents[inputs/comments] and conducting ~~an~~ interviews 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 party~~ regulations. Activity participants are also encouraged to apply ~~and/or~~ relevant standards, best practices and their ~~its own~~ voluntary corporate policies, in addition to or in absence of host party regulations; ~~obligations 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”.

102. The DOE shall validate the appropriateness, relevance and sufficiency of information provided in ~~the~~ A6.4 Sustainable Development Form and the A6.4 Environmental and Social Management Plan by reviewing relevant host party documentation on sustainable development objective/criteria/goal, stakeholder consultation documents [inputs/comments] ~~and~~ conducting ~~an~~ interviews with local stakeholders, and employing professional judgement in order to validate that:

- (a) Sustainable development objective/indicators of host party, in the A6.4 Sustainable Development Form, are in line with host ~~country's~~ Party's definition (when available);
- (b) Activity-level SD indicators defined in the 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 the A6.4 Sustainable Development Form.

103. 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. If the DOE identifies ~~that there is~~ the presence of unavoidable negative impacts that exceed the environmental and social safeguards ~~principle and criteria~~ and may not be remediated by consultation or mitigation, the DOE shall issue a negative validation opinion as per A6.4 validation and verification standard or submit a deviation request submitted to the Supervisory Body prior to submitting a request for registration. Box 1 below contains a best practice example of validation.

Box 1. Best practice example of validation

A proposed activity is to distribute energy efficient appliances to households in coastal and peninsular areas. An activity participant^s identifies^{yes} that its activity contributes to SDG 14⁵³ and SDG 15⁵⁴ based on the location of the proposed activity that is near to the marine and forest ecosystem. During the validation, the DOE raises a corrective action request (CAR) to request the activity participant^s to clarify how a proposed activity's impact on SDG 14 and SDG 15 is direct and primary as per the section 6.3 of the applied tool. The activity participant^s acknowledges^s that its activity does not directly contribute to SDG 14 and SDG 15 and excludes its contribution to SDG 14 and SDG 15 from the A6.4 Sustainable Development Form. Based on this revision, the DOE close its CAR accordingly.

8. Verification

104. While the requirements relating to the verification for Article 6.4 mechanism projects/PoA ~~are~~ set out in the Article 6.4 validation and verification standard for projects/PoA,⁵⁵ 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 will~~ provide its verification opinion on the observed deviation on whether the activity is still within the social and environmental ~~safeguards impact~~ and/or sustainable development impact defined in the A6.4 Environmental and Social Safeguards Risk Assessment Form, the A6.4 Environmental and Social Management Plan and ~~the~~ A6.4 Sustainable Development Tool form, ~~or not~~.
105. 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~~ interviews^s 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 Party~~ regulatory ~~requirements~~ applicable to the proposed activity.
106. The DOE shall confirm that the activity participant^s ~~has~~ ~~measured~~, monitored and reported parameters established in the A6.4 Environmental and Social Management Plan and ~~the~~ A6.4 Development Form submitted at the registration stage. If the DOE identifies that there are unavoidable negative impacts that exceed parameters established in the A6.4 Environmental and Social Management Plan and A6.4 Sustainable Development Form and may not be remediated by consultation or mitigation, the DOE shall issue a

⁵³ SDG 14 (life below water) is to conserve and sustainably use the oceans, seas and marine resources for sustainable development (<https://sdgs.un.org/goals/goal14>)

⁵⁴ SDG 15 (life on land) is protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss (<https://sdgs.un.org/goals/goal15>).

⁵⁵ Article 6.4 validation and verification standard.

negative verification opinion as per A6.4 validation and verification standard or submit a deviation request submitted to the Supervisory Body prior to submitting a request for issuance. Box 2 below contains a best practice example of verification.

Box 2. Best practice example of verification

An activity participants identifies its contribution to SDG 8⁵⁶ based on jobs generated from the proposed activity and include the number of generated jobs in the A6.4 Sustainable Development Form as a monitoring indicator. During the verification of the monitoring of the number of jobs generated under SDG 8, a DOE identifies that the number includes the short-term construction phase jobs and raises a CAR to request the activity participants to clarify how the inclusion of short-term construction phase jobs is in line with section 6.3 of the applied tool which requires sustainable development impact to be significant by recurring/lasting during at least the whole crediting period of an activity. The activity participants acknowledges that the inclusion of short-term construction phase jobs is not in line with the sustainable development impact defined in section 6.3 of the applied tool and the DOE closes a CAR by verifying a revised number which does not include the number of short-term construction phase jobs.

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⁵⁶ SDG 8 (Decent work and economic growth) is to promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all (<https://sdgs.un.org/goals/goal8>).

Appendix 1. Principle’s guiding questions for the do-no-harm risk assessment of the environmental and social safeguards principle and criteria

1. Environmental safeguards principles

1.1. Principle 1: Climate and energy

Table 1. Guiding questions for the do-no-harm risk assessment on climate and energy

P 1 Climate and energy (Energy)		Host Party regulations assessment¹	Generic risk assessment²s
Principle level question: PLQ 1.1	Does the proposed A6.4 activity have any risks increasing of the GHG emissions over the baseline scenario that are not considered under Article 6.4 approved applied methodology?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Principle level question: PLQ 1.2	Does the proposed A6.4 activity result in or lead to negative ³ impacts on the availability and reliability of the energy supply to other users?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

¹ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

² Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

³ For example: if the proposed activity intends to consume high amount of energy that might result into overload exiting energy supply.

P 1 Climate and energy (Energy)	Host Party regulations assessment¹	Generic risk assessment^{2-s}
Conclusion of the do-no-harm risk assessment on principle 1 (Climate and energy): If the answer to one of the principle level questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.		<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

1.2. Principle 2: Air, land and water

Table 2. Guiding questions for the do-no-harm risk assessment on air

P2.1 Air		Host Party regulations assessment⁴	Generic risk assessment⁵
Principle level question: PLQ 2.1.a	Does the proposed A6.4 activity involve to the release of air pollutants due to routine and non-routine activities, with the potential for local, regional and transboundary impacts? If yes or potentially, please respond to guiding questions AGO2.1.1-1 and AGO2.1.1-2.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Principle level question: PLQ 2.1.b	Is the proposed A6.4 activity located in an area ⁶ where historical pollution such as	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

⁴ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

⁵ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

⁶ Area where activity is located within the activity boundary as defined in the approved/applicable A6.4 methodology.

P2.1 Air		Host Party regulations assessment⁴	Generic risk assessment⁵
	<p>air contamination exists?</p> <p>If yes or potentially, please respond guiding question AGO2.1.2</p>		
Additional guiding questions:			
AGO2.1.1-1	Does the proposed A6.4 activity have any risks of the release of air pollutants that cannot be minimized and/or controlled in the terms of intensity and mass flow of their release in accordance with host party/country regulations?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO2.1.1-2	Does the proposed A6.4 activity have a risk of releasing pollutants into the air in routine, non-routine, or accidental circumstances with the potential for local, regional, and transboundary impacts?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO2.1.2	Does the proposed A6.4 activity have any risk of historical pollution such as air contamination not in accordance with host party/country regulations or subnational and local regulations where the activity	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

P2.1 Air		Host Party regulations assessment⁴	Generic risk assessment⁵
	participants are legally responsible for mitigation measures?		
Conclusion of the do-no-harm risk assessment on principle 2 (Air, land and water) – Air: If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

Table 3. Guiding questions for the do-no-harm risk assessment on land

P2.2 Land		Host Party regulations assessment⁷	Generic risk assessment⁸
Principle level question: PLQ 2.2.a	Does the proposed A6.4 activity lead to the release of land pollutants due to routine and non-routine activities, with the potential for local, regional and transboundary impacts? If yes or potentially, please respond to guiding questions AGO2.2.1-1, AGO2.2.1-2, AGO2.2.3, AGO2.2.4 and AGO2.2.5	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Principle level question: PLQ 2.1.b	Is the proposed A6.4 activity located in an area where historical	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No	

⁷ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

⁸ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

P2.2 Land		Host Party regulations assessment⁷	Generic risk assessment⁸
	<p>pollution such as land contamination exists?</p> <p>If yes or potentially, please respond to guiding questions AGO2.2.2</p>	<input type="checkbox"/> N/A	
Additional guiding questions:			
AGO2.2.1-1	Does the proposed A6.4 activity have any risk of the release of land pollutants that cannot be, minimized and/or controlled in terms of the intensity and mass flow of their release in accordance with host party ^{country} regulations? ⁹	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO2.2.1-2	Does the proposed A6.4 activity have a risk of releasing pollutants to land in routine, non-routine or accidental circumstances with the potential for local, regional, and transboundary impacts?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO2.2.2	Does the proposed A6.4 activity have any risk of continuing historical pollution such as air	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

⁹ Including, but not limited to, soil policy, soil protection laws, regulations and international best practices governing fertilizer or soil conditioner use in croplands and grasslands, including in relation to A6.4 carbon dioxide removal activities that involve the addition of carbonaceous or other materials or matter to soils. Particular attention should be given to potential contaminants and by-products from carbon dioxide removal activities on land in relation to, for example, the maximums of tolerable free metals and other types of contaminants in arable and grassland soils.

P2.2 Land			Host Party regulations assessment⁷	Generic risk assessment⁸
	contamination not in accordance with host party country regulations or subnational and local regulations where the activity participants are/is legally responsible for mitigation measures?			
AGO2.2.3	Has the activity participants identified any risk to soil and land use, as well as surface and groundwaters due to land erosion caused by the proposed A6.4 activity?			
AGO2.2.4	Has the activity participants identified any risk to the functions and services provided by the landscape by degradation of soil resources and loss of ecosystem services provided by soils?			
AGO2.2.5	Does the proposed A6.4 activity that involves the production, harvesting and/or management of living natural resources by small-scale landholders and/or local communities pose any risk related to appropriate and culturally sensitive sustainable	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		

P2.2 Land		Host Party regulations assessment⁷	Generic risk assessment⁸
	resource management practices ?		
Conclusion of the do-no-harm risk assessment on principle 2 (Air, land and water) – Land: If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

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

P2.3 Water		Host Party regulations assessment¹⁰	Generic risk assessment¹¹
Principle level question: PLQ2.3	Does the proposed A6.4 activity involve water usage that can result in adverse—negative impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes? (If yes or potentially, please respond to the guiding questions)	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding questions:			
AGO2.3.1	Does the proposed A6.4 activity have any risk that could compromise the	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No	

¹⁰ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

¹¹ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

P2.3 Water		Host Party regulations assessment¹⁰	Generic risk assessment¹¹
	promotion of the sustainable and efficient use of water resources to avoid adverse negative impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes?	<input type="checkbox"/> N/A	
AGO2.3.2-1	Does the proposed A6.4 activity have a risk of releasing pollutants to water in routine, non-routine or accidental circumstances?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO2.3.2-2	Does the proposed A6.4 activity involve or lead to any potential risk of pollutant release that cannot be avoided? ¹²	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO2.3.3	Have the activity participants identified any risk in adopting measures to avoid or reduce water usage so that the activity's water consumption that have significant adverse—negative impacts on people	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

¹² A6.4 activities involving subsurface geological CO₂ storage shall be undertaken consistent with local and national surface and groundwater protection laws and regulations. Attention should also be given to potential impacts on water bodies that may receive runoff that contains materials or other by-products from land treated for the purpose of CO₂ removal. Consideration shall also be given to relevant marine treaties (e.g. United Nations Convention on Law of the Sea; London Convention and Protocol; Oslo-Paris Treaty) that in some cases apply to CO₂ removal activities, including those clauses relating to the control of land-based sources of marine pollution.

P2.3 Water			Host Party regulations assessment¹⁰	Generic risk assessment¹¹
	and biodiversity in terms of availability, accessibility, reliability and quality as the same level to the environmental and social baseline?			
AGO2.3.4	Have the activity participants identified any risk in implementing technically and financially feasible and cost-effective measures for improving efficiency in its consumption of water, with a focus on core areas of the proposed activity(ies)?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		

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P2.3 Water	Host Party regulations assessment¹⁰	Generic risk assessment¹¹
<p>Conclusion of the do-no-harm risk assessment on principle 2 (Air, land and water) – Water: If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A</p>	

1.3. Principle 3: Ecology and natural resources

Table 5. Guiding questions for the do-no-harm risk assessment on ecology and natural resources

Principle 3 Ecology and natural resources		Host Party regulations assessment¹³	Generic risk assessment¹⁴
<p>Principle level question: PLQ3</p>	<p>Will the proposed A6.4 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</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A</p>	

¹³ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations. In situations where an A6.4 activity could lead to the runoff of materials from land to other water bodies and the ocean, for example, in the case of some CO₂ removal methods, consideration should be given to relevant marine treaties regarding land-based sources of marine pollution (e.g. United Nations Convention on Law of the Sea; Oslo-Paris Treaty; Kuwait Regional Convention; Southeast Pacific Protocol, Barcelona Convention, etc.).

¹⁴ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

Principle 3 Ecology and natural resources		Host Party regulations assessment¹³	Generic risk assessment¹⁴
	climate change impacts? ¹⁵ <i>(If yes or potentially, please respond to the additional guiding questions)</i>		
Additional guiding question:			
AGO3.1.1	Has the activity participants identified any risk during the precautionary approach to natural resource conservation, including to soil, minerals and other depletable natural resources, that can result in irreversible negative environmental impacts by the proposed activity?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.1	Does a proposed A6.4 activity introduce any risk of loss of ecosystem services?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.2-1	Does a proposed A6.4 activity have a risk of unsustainable forest management, including timber harvesting?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.2-2	Does a proposed A6.4 activity pose a risk of depleting biodiversity and ecosystem functionality in areas where improved forest management is undertaken?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.3	Does the proposed A6.4 activity have any risk of not meeting	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially	

¹⁵ In the case of some CO₂ removal methods, this can include the potential impacts on the pH of receiving water bodies and the effects this may have on the biota and habitat therein (e.g. impacts upon fish breeding grounds, such as mineral deposition and calcification of sediments and gravels).

Principle 3 Ecology and natural resources		Host Party regulations assessment¹³	Generic risk assessment¹⁴
	the requirements for environment-friendly, socially beneficial, and economically viable plantations using native species whenever possible?	<input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.4-1	Does the proposed A6.4 activity pose any risk to the any recognized endangered, vulnerable or critically endangered species?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.4-2	Does the proposed A6.4 activity pose any risk to the identified habitats of endangered species?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.5	Does a proposed A6.4 activity pose a risk of introducing any alien species into new environments?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.6	Does the proposed A6.4 activity have a risk of spreading alien species, already established in the country or region of the proposed activity, into areas in which they have not already been established?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.2.7	Has the activity participants identified any risk while exercising diligence to avoid the spread of alien species into areas where they are not already established?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO3.3.1	Does the proposed A.6.4 activity pose a risk of negatively impacting critical habitats? If yes or potentially, the activity	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 3 Ecology and natural resources		Host Party regulations assessment¹³	Generic risk assessment¹⁴
	participants shall demonstrate how the activity meets the three prerequisites described in P3.3.1 above.		
Conclusion of do-no-harm risk assessment on principle 3 (Ecology and natural resources): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2. Social safeguards

2.1. Principle 4: Human rights

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Table 6. Guiding questions for the do-no-harm risk assessment on human rights

Principle 4 Human rights		Host Party regulations assessment¹⁶	Generic risk assessment¹⁷
Principle level question: PLQ 4a	Has the activity participants identified any risk that the activity, during its implementation and operation, can undermine national laws and/or international treaties for the realization of the human rights including the right regarding sustainable development, poverty alleviation and ensuring fair distribution of development	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

¹⁶ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

¹⁷ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

Principle 4 Human rights		Host Party regulations assessment¹⁶	Generic risk assessment¹⁷
	<p>opportunities and benefits?</p> <p>If yes or potentially, please respond to the additional guiding questions AGO4.1-1, AGO4.1-2 & AGO4.1-3.</p>		
PLQ 4b	<p>Has the activity participants identified any actual or potential adverse human rights risk by the proposed A6.4 activity, during the human rights' due diligence?</p> <p>If the answer of this question is either yes or potentially, please identify relevant measures to prevent and mitigate potential adverse human rights impact in environmental and social management plan.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding questions:			
AGO4.1-1	<p>Does the proposed A6.4 activity have any adverse impact that undermine the national or regional measures for the realization of the human rights on the enjoyment of the rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGO4.1-2	<p>Does the proposed A6.4 activity have any risk of leading to inequitable or discriminatory</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 4 Human rights		Host Party regulations assessment¹⁶	Generic risk assessment¹⁷
	impacts on affected populations, particularly people living in poverty, or marginalized or excluded individuals or groups, including persons with disabilities?		
AGO4. 1-3	Does the proposed A6.4 activity have any risk of causing 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? ¹⁸	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Conclusion of do-no-harm risk assessment on principle 4 (Human rights): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.2. Principle 5: Labour

Table 7. Guiding questions for the do-no-harm risk assessment on labour

Principle 5 Labour		Host Party regulations assessment¹⁹	Generic risk assessment²⁰
Principle level	Haves the activity participants identified any risk	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No	

¹⁸ See also criterion P1.2: Energy in relation to accessing the electricity and avoidance of curtailment and/or diversion of renewable electricity.

¹⁹ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

²⁰ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

Principle 5 Labour		Host Party regulations assessment¹⁹	Generic risk assessment²⁰
question: PLQ5	<p>in promoting safe and healthy labour and working conditions according to the host party country regulatory requirements applicable to the proposed activity?</p> <p>If yes or potentially, please respond to the additional guiding questions</p>	<input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 5.1	<p>Does the proposed A6.4 activity have any risk that could compromise the promotion of education programmes for local communities to access labour opportunities created by the proposed activity?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.2	<p>Does the proposed A6.4 activity have any risk that could compromise the promotion of the fair treatment, non-discrimination and equal opportunity of activity workers?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.3	<p>Does the proposed A6.4 activity have any risk of protecting activity workers, including vulnerable workers such as women, persons with disabilities and</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 5 Labour		Host Party regulations assessment¹⁹	Generic risk assessment²⁰
	migrant workers, contracted workers, community workers, and primary supply workers, as appropriate?		
AGQ 5.4	Does the proposed A6.4 activity have a risk of using forms of forced labour and child labour?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.5	Does the proposed A6.4 activity have any risk of supporting the principles of freedom of association and collective bargaining of activity workers in a manner consistent with national law?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.6	Does the proposed A6.4 activity have any risk of providing activity workers with accessible means to raise workplace concerns.?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 5.7	Does the proposed A6.4 activity pose risks inherent to the nature of their work/sector, including, but not limited to, physical, chemical, biological and radiological hazards, and	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 5 Labour		Host Party regulations assessment¹⁹	Generic risk assessment²⁰
	specific threats to women?		
Conclusion of do-no-harm risk assessment on principle 5 (Labour): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.3. Principle 6: Health and safety

Table 8. Guiding questions for the do-no-harm risk assessment on health and safety

Principle 6 Health and safety		Host Party regulations assessment²¹	Generic risk assessment²²
Principle level question: PLQ6	Has the activity participants identified any activity risks to and impacts on the health and safety of the affected communities, including those who, because of their circumstances, may be vulnerable, as per host party country regulatory requirements applicable to the proposed activity? ²³ If yes or potentially, please respond to	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

²¹ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

²² Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

²³ This shall include respiratory risks to local communities posed by A6.4 CO₂ removal activities that involve the application of materials to land (e.g. incidental airborne release of fine particulate matter).

Principle 6 Health and safety		Host Party regulations assessment²¹	Generic risk assessment²²
	the additional guiding questions		
Additional guiding question:			
AGQ 6.1-1	Has the activity participants considered the risks and impacts of the activity on the health and safety of the affected communities during the activity crediting period, including those who, because of their circumstances, may be vulnerable, as per host party country regulatory requirements applicable to the proposed activity?		
AGQ 6.1-2	Has the activity participants identified any health and/or safety risk related to the construction implementation and/or infrastructure development (e.g. roads, buildings, dams) of the proposed activity?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-3	Have the activity participants identified any risk related to air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, or sanitation	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 6 Health and safety		Host Party regulations assessment²¹	Generic risk assessment²²
	exceeding the limits established by relevant host party country regulation or industrial best practices?		
AGQ 6.1-4	Has the activity participants identified any risk related to harm or losses due to the failure of structural elements of the activity (e.g. collapse of buildings or infrastructure)? ²⁴	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-5	Has the activity participants identified any risk related to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health including gender-based violence?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.1-6	Has the activity participants identified any risk related to transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

²⁴ For A6.4 activities involving the capture, transport and storage of CO₂, this shall include CO₂ transport infrastructure and injection wellbores.

Principle 6 Health and safety		Host Party regulations assessment²¹	Generic risk assessment²²
	construction implementation and operation)? ²⁵		
AGQ 6.1-7	Has the activity participants identified any risk related to adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.2	Has the activity participants identified any health and/or safety risks to communities that can result into accidents or incidents that require mitigation measures in accordance with national legal requirements, good international practice, including the emergency preparedness and response plans as appropriate?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 6.3	Have the activity participants identified any health and/or safety risk exposure of women and men, as well as marginalized and disadvantaged groups, including children, older	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

²⁵ This shall include A6.4 activities involving the transport and storage of CO₂.

Principle 6 Health and safety		Host Party regulations assessment²¹	Generic risk assessment²²
	persons, persons with disabilities, minorities, and Indigenous Peoples?		
Conclusion on do-no-harm risk assessment on principle 6 (Health and safety): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.			<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.4. Principle 7: Gender equality

Table 9. Guiding questions for the do-no-harm risk assessment on gender equality

Principle 7 Gender equality		Host Party regulations assessment²⁶	Generic risk assessment²⁷
Principle level question: PLQ7	Have the activity participants identified potential gender-based risks and impacts that reinforce pre-existing inequalities and/or create new ones? If yes or potentially, please respond to the additional guiding questions.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 7.1-1	Does the proposed A6.4 activity have any of adverse impacts on gender equality and/or the situation of women and girls?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 7.1-2	Does the proposed A6.4 activity have any of exacerbating of risks of	<input type="checkbox"/> Yes	

²⁶ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

²⁷ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

	Principle 7 Gender equality		Host Party regulations assessment²⁶	Generic risk assessment²⁷
	gender-based violence (for example, 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"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 7.2-1	Does the proposed A6.4 activity have pose a risk to the principle of non-discrimination, equal treatment and, equal pay for equal work? (Including e.g. risk of 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 the community (women and men) about the implementation of the activity in an accessible manner to ensure full engagement, including access to leadership positions).	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 7.2-2	Does the proposed A6.4 activity have any risk of preventing men and women from having equal opportunities to participate in identified tasks and activities, whether through paid work, volunteer work, or community contributions, as appropriate?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 7.2-3	Does the proposed A6.4 activity have any risk of limiting the participation of women or men in the workplace based on pregnancy,	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		

Principle 7 Gender equality		Host Party regulations assessment²⁶	Generic risk assessment²⁷
	maternity/paternity leave, or marital status?		
AGQ 7.2-4	Does the proposed A6.4 activity have any risk of reproducing discriminations against persons based on gender, in particular participation in the design and implementation or access to opportunities and benefits.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 7.2-5	Does the proposed A6.4 activity have a risk of limiting 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 resources for their livelihoods and well-being).	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 7 Gender equality	Host Party regulations assessment²⁶	Generic risk assessment²⁷
Conclusion of do-no-harm risk assessment on principle 7 (Gender equality): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.		<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.5. Principle 8: Land acquisition and involuntary resettlement²⁸

Table 10. Guiding questions for the do-no-harm risk assessment on land acquisition and involuntary resettlement

Principle 8 Land acquisition and involuntary resettlement		Host Party regulations assessment²⁹	Generic risk assessment³⁰
Principle level question: PLQ8	Does the proposed A6.4 activity involve or support involuntary land acquisition or restrictions on land use that may cause physical displacement economic displacement or both? <i>If yes or potentially, please respond the additional guiding questions</i>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			

²⁸ Involuntary resettlement refers to a scenario when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

²⁹ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

³⁰ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

Principle 8 Land acquisition and involuntary resettlement		Host Party regulations assessment²⁹	Generic risk assessment³⁰
AGQ 8.1	Does the proposed A6.4 activity have risks of forced evictions or involuntary relocation of people?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 8.2-1	<p>Has the proposed activity participants identified any risks to displaced persons and host communities when physical displacement (i.e. relocation or loss of shelter) cannot be avoided</p> <p>(If applicable), Has the proposed A6.4 activity developed a resettlement action plan and/or livelihood action plan in consultation and agreement with affected individuals, groups or communities, as per host party country regulations?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 8.2-2	Does the proposed A6.4 activity have any risk of restoring livelihoods and/or living standards, to at least pre-project levels for displaced persons?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 8 Land acquisition and involuntary resettlement		Host Party regulations assessment²⁹	Generic risk assessment³⁰
AGQ 8.3	<p>Has the activity participants identified any risks of economic displacement (i.e. loss of land or assets, or loss of access to assets, leading to loss of income sources or other means of livelihood)?</p> <p><i>(If applicable)</i> Has the activity participants considered the impacts and risks of economic displacement in the resettlement action plan and in consultation and agreement with affected individuals, groups or communities, as per host party country regulations?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 8.4	<p>Has the activity participants identified any risk in conducting full consultation with the affected individual, group or community and consider good faith negotiations and reflecting resettlement understandings reached in written agreements?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

Principle 8 Land acquisition and involuntary resettlement	Host Party regulations assessment ²⁹	Generic risk assessment ³⁰
Conclusion of do-no-harm risk assessment on principle 8 (Land acquisition and involuntary resettlement): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.		<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.6. Principle 9: Indigenous Peoples

Table 11. Guiding questions for the do-no-harm risk assessment on Indigenous Peoples

P 9 Indigenous Peoples			Host Party regulations assessment ³¹	Generic risk assessment ³²
Principle level question: PLQ9	Does the proposed A6.4 activity involve Indigenous Peoples within the activity area of influence who may be affected directly or indirectly by the activity? <i>If yes or potentially, please respond to the additional guiding questions</i>	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
Additional guiding question:				
AGQ 9.1	Does the proposed A6.4 activity pose risks in areas where Indigenous Peoples are present (including activity area of influence)?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 9.2-1	Does the proposed A6.4 activity have risk to areas, land and	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially		

³¹ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

³² Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

P 9 Indigenous Peoples		Host Party regulations assessment³¹	Generic risk assessment³²
	territory claimed by Indigenous Peoples?	<input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.2-2	<p>Does the proposed A6.4 activity pose risks to the rights, lands, natural resources territories and traditional livelihoods of Indigenous Peoples?</p> <p>- (if applicable) Has an environmental and social analysis of the activities that may affect or involve Indigenous Peoples been elaborated with the effective and meaningful participation of Indigenous Peoples (by completing the A6.4 Environmental and Social Safeguards Risk Assessment Form) and was it included in the activity documentation?</p> <p>- (if applicable), Did the activity obtain free, prior and informed consent from the Indigenous Peoples before using their cultural, intellectual, religious, and/or spiritual property?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Potentially <input type="checkbox"/> N/A	
AGQ 9.3	Does the proposed A6.4 activity have a risk of forcibly removing Indigenous Peoples from their lands and territories?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

P 9 Indigenous Peoples		Host Party regulations assessment³¹	Generic risk assessment³²
AGQ 9.4	Does the proposed A6.4 activity have any risks with regard to recognizing and respecting 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?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.5	Does the proposed A6.4 activity pose any risk of utilizing cultural, intellectual, religious and/or spiritual property of Indigenous Peoples without FPIC??	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.6-1	Does the proposed A6.4 activity pose risks of utilization and/or commercial development of natural resources on lands and territories claimed by Indigenous Peoples? (Consider and, where appropriate, ensure consistency with principle 8)	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
AGQ 9.6-2	Does the proposed A6.4 activity have risks of the Indigenous Peoples receiving an equitable sharing of benefits resulting from the use	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Potentially <input type="checkbox"/> N/A	

P 9 Indigenous Peoples	Host Party regulations assessment³¹	Generic risk assessment³²
<p>of their traditional knowledge and practices?</p> <p>- Does the proposed A6.4 activity have risks of ensuring that the sharing of benefits resulting from a good-faith negotiated agreement regarding the appropriate use of Indigenous Peoples' traditional knowledge and practices is culturally appropriate and inclusive?</p> <p>- Does the proposed A6.4 activity have risks of ensuring that the agreement provisions regarding equitable sharing of benefits does not impede land rights or equal access to basic services, including health services, clean water, energy, education, safe and decent working conditions, and housing?</p>		

P 9 Indigenous Peoples	Host Party regulations assessment³¹	Generic risk assessment³²
Conclusion of do-no-harm risk assessment on principle 9 (Indigenous Peoples): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.		<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A

2.7. Principle 10: Corruption

Table 12. Guiding questions for the do-no-harm risk assessment on corruption

P 10 Corruption		Host Party regulations assessment³³	Generic risk assessment³⁴
Principle level question: PLQ10	Has not the activity participants provided a declaration that the proposed A6.4 activity in its development, implementation and operation shall not involve any illegal activities, including money laundering, tax evasion, fraud, bribery and criminal activities	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Conclusion of the do-no-harm risk assessment on principle 10 (Corruption): If the answer to the principle level question is "No", it indicates potential risk and is not in accordance with the activity standard and the activity cycle procedure for projects, the DOE shall issue a negative validation opinion as per the the validation and verification standard for projects.			<input type="checkbox"/> Yes <input type="checkbox"/> No

³³ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

³⁴ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

2.8. Principle 11: Cultural heritage³⁵

Table 13. Guiding questions for the do-no-harm risk assessment on cultural heritage

P 11 Cultural heritage		Host Party regulations assessment³⁶	Generic assessment³⁷ Compliance justification
Principle level question: PLQ11a	Does the proposed A6.4 activity involve altering, damaging or removing sites, objects, or structures of significant cultural heritage? (If yes or potentially, please respond to additional guiding questions AGO11.1, AGO11.2-1, AGO11.2-2 & AGO11.2-3)	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Principle level question: PLQ11b	Does the proposed A6.4 activity involve usage or partial usage of sites, objects or structures of significant cultural heritage? (If yes or potentially, please respond to additional guiding questions related to AGO11.3-1, AGO11.3-2, AGO11.3-3, AGO11.3-4 & AGO11.3-5)	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional guiding question:			
AGQ 11.1	Does the A6.4 activity have a risk of alteration, damage or removal of any sites,	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially	

³⁵ 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.

³⁶ Assessment and conclusion provided by activity participants regarding the proposed activity alignment with host Party regulations.

³⁷ Conclusions provided by the activity participants in regard to the proposed activity alignment with host country relevant standards, industry best practices or their own voluntary corporate policies applicable to the proposed activity for transparency and compliance purposes.

P 11 Cultural heritage			Host Party regulations assessment³⁶	Generic assessment³⁷ Compliance justification
	objects or structures of critical cultural heritage?	<input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 11.2-1	Does the proposed A6.4 activity have a risk of significant excavations, demolitions, movement of earth, flooding or other environmental changes?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 11.2-2	Does the proposed A6.4 activity have a risk of alterations to landscapes and natural features with cultural significance?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 11.2-3	Does the proposed A6.4 activity have a risk of 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)? Note: Activities intended to protect and conserve cultural heritage may also have inadvertent adverse impacts.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 11.3-1	Does the proposed A6.4 activity have a risk of utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of cultural heritage for commercial or other purposes?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		

	P 11 Cultural heritage		Host Party regulations assessment³⁶	Generic assessment³⁷ Compliance justification
	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?			
AGQ 11.3-2	Does the proposed A6.4 activity have a risk of providing equitable sharing of benefits from the commercialization of such knowledge, innovations, or practices in a way that is consistent with their customs and traditions?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 11.3-3	Does the activity participants have not changed, modified and updated the activity design considering the opinions and recommendations of competent professionals recognized by the host party/country government?	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 11.3-4	Does the proposed A6.4 activity involve any risks related to the involuntary relocation of people? If yes, please complete the resettlement section under principle 5.	<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
AGQ 11.3-5	Does the proposed A6.4 activity involve any	<input type="checkbox"/> Yes		

P 11 Cultural heritage		Host Party regulations assessment ³⁶	Generic assessment ³⁷ Compliance justification
risks related to identifying and managing legitimate tenure rights that may be affected by the activity?	<input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A		
If yes, please complete the land acquisition section under principle 5.			
Conclusion of the do-no-harm risk assessment on principle 11 (Cultural heritage): If the answer to one of the additional guiding questions is either “Yes” or “Potentially” above, the conclusion of the do-no-harm risk assessment is either “Yes” or “Potentially” accordingly. Under these circumstances, the activity participants are required to prepare mitigation measures under a specific principle’s criteria in the A6.4 Environmental and Social Management plan.		<input type="checkbox"/> Yes <input type="checkbox"/> Potentially <input type="checkbox"/> No <input type="checkbox"/> N/A	

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