



Gold Standard[®]
for the Global Goals

CORE DOCUMENT

SAFEGUARDING PRINCIPLES & REQUIREMENTS

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SUMMARY

The climate and development projects are multi-dimensional and often impact more than one aspect. This requires various safeguards to be established and implemented to ensure that any potential negative impact is identified and mitigated at the right moment. This document established the process of assessing a development project against the established safeguarding principles.

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1| SCOPE AND APPLICABILITY

- 1.1.1 | Interventions are never one-dimensional. The interconnected nature of climate and project activities call for appropriate safeguarding mechanisms. These safeguards help project activities to identify, prevent and mitigate negative, unintended consequences that may arise from any given intervention. Credible safeguards are important in both ensuring development outcomes are not undermined as well as gaining public support for climate actions.
- 1.1.2 | The Gold Standard for the Global Goals Safeguarding Principles & Requirements is derived from several international conventions, including:
- a. UNDP's Social and Environmental Standards (SES), 2021
 - b. UN Environment's Environmental, Social and Economic Sustainability Framework, 2020
 - c. International Finance Corporation's Environmental and Social Performance Standard, 2021
 - e.d. FAO. 2022. Framework for Environmental and Social Management
- 1.1.3 | This document outlines the overarching safeguarding principles (Table 1) and corresponding requirements that a project activity is required to meet throughout the entire project cycle.
- 1.1.4 | The requirements outlined in this document guides project developer:
- a. to identify and evaluate the risks and adverse outcomes of the proposed activities, and
 - b. to adopt a mitigation strategy to avoid or where avoidance is not possible, minimise identified risks, to achieve the stated requirements.

Table 1 – Safeguarding Principles

SAFEGUARDING PRINCIPLES		
Social	Principle 1	Human Rights
	Principle 2	Gender Equality and Women's Empowerment
	Principle 3	Community Health and Safety
	Principle 4	Cultural Heritage, Indigenous Peoples, Displacement and Resettlement
	Principle 5	Corruption
Economic	Principle 6	Economic Impacts
Environmental and Ecological	Principle 7	Climate and Energy
	Principle 8	Water
	Principle 9	Environment, Ecology and Land Use

2| ENTRY INTO FORCE

This document comes into force after 90 days of its publication i.e., on dd/mm/2023.

3| DEFINITIONS

3.1.1 | In addition to definitions contained in GS4GG – Glossary of terms, the following definitions apply to this document:

- a. **Biodiversity** is the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems. The definition from the Convention on Biological Diversity (Article 2) covers plant, animal, forest, aquatic, micro-organism and invertebrate genetic resources and diversity that are vital to food security, nutrition, livelihoods and the resilience and adaptability of global agricultural production systems.
- b. **Child labour** is defined as work that is inappropriate for a child's age, affects children's education, or is likely to harm their health, safety or morals.
- c. **Critical habitat** are areas with high biodiversity value including any of the following features
 - i. habitats of significant importance to threatened or endangered species (e.g. as critically endangered, endangered or vulnerable species identified 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 that support globally significant concentrations of migratory species and/or congregatory species;
 - iv. highly threatened and/or unique ecosystems; and/or
 - v. areas associated with ecological functions or characteristics that are required to sustain the biodiversity in the habitats described above in (i) to (iv).

Critical habitat includes those areas that are

- i. legally protected,
- ii. officially proposed for protection,
- iii. identified by authoritative sources for their high conservation value (such as areas that meet criteria of the World Conservation Union classification, the Ramsar List of Wetlands of (iv) International Importance, and the United Nations Scientific and Cultural Organization's world heritage sites) or
- iv. recognized as protected by traditional local communities.
- d. **Cultural heritage** reflects and expresses people's constantly evolving values, beliefs, knowledge, traditions and practices. Cultural heritage is central to individual and collective identity and memory, providing continuity between past, present and future. The term includes tangible

and intangible heritage, which may be recognized and valued at the local, regional, national, or global level. For example living expressions inherited from the ancestors, such as oral traditions, performing arts, social manners, rituals, festive events, knowledge and practices related to nature and the universe, and knowledge and techniques linked to traditional crafts

- e. **Ecosystem services** are the benefits that people derive from ecosystems. Ecosystem services are organized into four categories:
- i. provisioning services that include food, freshwater, wood, timber, fibres, medicinal plants and genetic resources;
 - ii. regulating services that include surface water purification, carbon storage and sequestration, climate regulation, protection from natural hazards,
 - iii. cultural services that include natural areas that are sacred sites and areas of importance for recreation and aesthetic enjoyment, and
 - iv. supporting services that include soil formation, nutrient cycling and primary production.
- f. **Expert stakeholder** refers to the individuals that hold specific expertise or knowledge about the organisation, process, or activity being audited and/or about the context and practices to which the project is applied. A Stakeholder is considered an expert if the expert holds over 10 years of relevant, contextually specific professional, academic or practical experience of relevant topic. Higher academic qualifications are preferred but can be justified as not required if necessary.
- g. **Forced eviction** include acts involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that they occupied or depended upon, and that consequently eliminate or limit their ability to reside or work in a particular dwelling, residence, or location without the provision of and access to, appropriate forms of legal and other protection.
- h. **Forced labour** consists of any work or service not voluntarily performed and is exacted from an individual under coercion, threat of force or penalty.
- Work is on a voluntary basis when it is done with the free and informed consent of a worker. Such consent must exist throughout the employment relationship and the worker must have the possibility to revoke freely given consent. In particular, there can be no “voluntary offer” under threat or other circumstances of restriction or deceit. To assess the authenticity of a free and informed consent, it is necessary to ensure that no external constraint or indirect coercion has been carried out, either by an act of the authorities or by an employer’s practice. Refer to the Forced Labour Convention, 1930 (No.29), as well as the Protocol of 2014 to the Forced Labour Convention.

- i. **Free, prior and informed consent (FPIC)** is a self-standing Indigenous Peoples right that was initially developed in some Conventions, developed in 1989 in the ILO Convention 169 and later enshrined as FPIC in the 2007 UN Declaration on the Rights of Indigenous Peoples adopted by the UN General Assembly. Work is on a voluntary basis when it is done with the free and informed consent of a worker. Such consent must exist throughout the employment relationship and the worker must have the possibility to revoke freely given consent. In particular, there can be no 'voluntary offer' under threat or other circumstances of restriction or deceit. To assess the authenticity of a free and informed consent, it is necessary to ensure that no external constraint or indirect coercion has been carried out, either by an act of the authorities or by an employer's practice.
- j. **Gender-based violence** is one of the most extreme forms of discrimination. GBV, which is widespread globally, tends to be exacerbated by food insecurity, poverty and humanitarian emergencies. The types of GBV that are of particular concern include sexual and physical violence; the denial of resources, opportunities or services; harmful practices (e.g. forced and child marriage); sexual exploitation and abuse; and emotional and psychological assault. Evidence shows that women and girls tend to be most vulnerable to GBV, but men and particularly boys are also at risk, depending on the context. GBV has severe consequences not only for survivors, but also for their families and communities.
- k. **Gender equality** refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that women's and men's rights, responsibilities and opportunities will not depend on whether they are born male or female.
- l. **Hazard** is a process, phenomenon or human activity that may cause loss of life, injury or other health impacts, property damage, social and economic disruption or environmental degradation.
- m. **Hazardous waste** refers to a waste with properties that make it dangerous or capable of having a harmful effect on human health or the environment.
- n. **Indigenous people** refers to distinct collectives who answer to any of the more commonly accepted definitions of Indigenous Peoples. Regardless of the local, national and regional terms applied to them, self-identification as a distinct people is a fundamental criterion in the definition of Indigenous Peoples. Other key characteristics of the definition of Indigenous Peoples include: voluntary perpetuation of cultural distinctiveness (e.g. languages, laws, customary cultural, social, economic or political institutions); collective attachment to the lands, territories and resources they have traditionally owned, occupied or otherwise used or acquired; traditional livelihoods and tangible and intangible cultural heritage associated to their lands, territories, and

resources; priority in time with respect to occupation and use of specific territory; and an experience of subjugation, marginalization, dispossession, exclusion or discrimination, whether or not these conditions persist. Indigenous Peoples may have a distinct language or dialect, often different from the official language or languages of the country or region in which they reside.

- o. Marginalized, vulnerable or disadvantaged groups** refers to those individuals or groups who, because of their age, gender, ethnicity, religion, disability, economic situation (e.g. smallholders) may be more likely to be adversely affected by project impacts and/or more limited than others to benefit from its rewards. A few most common marginalised groups are women, youth, poor communities, informal sector workers, ethnic minorities, indigenous peoples, disabled or elderly people, and members of the LGBTQ community
- p. Natural habitats** are land and water areas where the biological communities are formed in large part by native plant and animal species, and where human activity has not essentially modified the area's primary ecological functions and species composition.
- q. Non-hazardous waste** refers to a waste which does not have properties that make it dangerous or capable of having a harmful effect on human health or the environment.
- r. Pollutant** refers to a substance that is present in concentrations that may harm organisms (humans, plants and animals) or exceed an environmental quality standard.
- s. Protected area** refers to a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.
- t. Tenure** defines access and security of rights to land and other natural resources and affects how farmers or other users decide to use the natural resource; who has the right and the incentives to invest in improvements; and, sometimes who will benefit from the improvements in productivity that result from economic transformation and growth driven by leveraging land assets; or who may lose from changes in use and access to natural resources.

4| REQUIREMENT

~~4.2~~4.1 | General requirements

4.1.1 | All project activities/PoAs/VPAs (mentioned as activity henceforth for conciseness) shall

- a. undertake upfront assessment against the Safeguarding Principles & Requirements, and
- b. implement the activity in accordance Safeguarding Principles and relevant requirements, and
- c. include measures, corresponding to the identified risks and adverse outcomes, to minimize and address negative impacts, in validated design documents prior to design certification, and
- a.d. provide information on measures implemented to address the identified risks and status of risk in the monitoring report.

4.1.2 | In addition to meeting the requirements under the Safeguarding Principles & Requirements, the project developer shall comply with applicable national law, including those laws implementing host country obligations under international law. When host country requirements differ from requirements presented in this document, projects shall comply with the requirements whichever is more stringent.

4.1.3 | The safeguarding assessment shall apply to the Project Scenario, although assessment questions and requirements involve a comparison to the Baseline Scenario(s) and/or the implementation or decommissioning phases of a Project.

4.1.4 | Any failure, at any time in respect to the completion of the Safeguarding Principles Assessment, including conformity with Requirements and Monitoring & Reporting Requirements shall lead to the invocation of the Non-Conformity section of the Principles and Requirements.

4.1.5 | The activity shall provide the following information as per GS4GG certification stage as applicable to project status.

Table 2 – Safeguarding Assessment Information

Stage	Information
Stakeholder Consultation	Draft Safeguarding Principles Assessment including a summary of environmental, social, and economic impacts of projects shall be made available to Stakeholders to gather feedback during stakeholder consultation rounds.
Preliminary Review	A summary of Safeguarding Principles Assessment (including any key identified risks that relate to the project type or context)
Design Review	A completed Safeguarding Principles Assessment validated by the Gold Standard Validation and Verification Body (GS-VVB).

Performance Review	<p><u>Each</u> monitoring report shall:</p> <ol style="list-style-type: none"> <u>include</u> an update on the implementation including information on relative success and failures, or improvements to proposed mitigation measures <u>include monitored information on</u> indicators identified <u>at design review stage</u>, including <u>information</u> against pre-set tolerances <u>update</u> information on any assessment questions answered 'Potentially' or where requirements call for regular re-assessment
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1.3+4.2 | Expert stakeholder requirements

4.2.1 | Several Safeguarding Principles require the opinion and recommendations of Expert Stakeholder(s). These are identified throughout the Safeguarding Principles Requirements and/or in the Activity Requirements.

4.2.2 | Where applicable, the Project Developer shall demonstrate that the Expert Stakeholder(s) has conducted a thorough review (and, if needed, an onsite visit) and that their recommendations have been incorporated into the project design. For requirements related to the engagement of an Expert Stakeholder, please refer to the Stakeholder Consultation and Engagement Requirements.

4.2.3 | Where a given Safeguarding Requirement, requires the input of independent Expert Stakeholder(s), this appointment shall be made directly by the project developer. A signed statement from the appointed Expert Stakeholders confirming that they have no conflict of interest or other financial interest in the Project, project developer or associated organisations shall be provided to Gold Standard.

4.3 | Supporting document and evidence

4.3.1 | The project developer shall provide evidence, as applicable to the validating and/or verifying VVB to support the assessment and/or justifications provided to demonstrate compliance with safeguarding principle. For example - Environmental Impact Assessment (EIA).

4.3.2 | The required supporting documents/evidence shall be made available to gold standard as per the requirements of any findings raised during design review or performance review.

4.3.3 | The required project documents shall be made publicly available on the Impact Registry except the confidential information/document in line with the Public Disclosure Requirements for Project Documentation.

4.3.4 | Should the project developer provide a supporting document/evidence containing confidential information, a redacted version of the same document shall be provided.

2+5 | ASSESSMENT PROCEDURE

5.1.1 | The Safeguarding Principles Assessment procedure set out in this document includes the following elements:

Table 3 – Key Elements and Objective for Safeguarding Assessment

Element	Objective
Principles:	The overarching principles and rationale for the inclusion of the given assessment.
Assessment questions:	The safeguarding assessment questions to identify potential risks and adverse outcomes of the <u>activity</u> and <u>to</u> determine how the <u>requirements</u> shall be met for each Principle.
Requirements:	The requirements define what a <u>project activity</u> shall achieve through design, <u>management</u> , or risk mitigation.

5.1.2 | A non-exhaustive list of assessment questions set out against each Safeguarding Principle is provided in the Annex 1.

3+6 | EXCEPTION TO SAFEGUARDING PRINCIPLE AND REQUIREMENT

3.1.1 + 6.1.1 | In certain circumstances an exception to a specific Safeguarding Principle or Requirement may be sought. Gold Standard encourages Project developer to understand and demonstrate the trade-offs associated with the project. In the presence of unavoidable negative impacts that exceed the Requirements and may not be remediated by consultation or mitigation, the Project Developer shall submit a Deviation Request to Gold Standard for review. All such requests shall be reviewed by a panel made up of the Gold Standard Secretariat and at least two relevant third-party Expert Stakeholder(s) and a Gold Standard Technical Advisory Committee (TAC) Member. The panel shall make recommendations to the Project Developer as to any changes to the project to minimise the adverse outcomes. The panel shall also recommend to Gold Standard as to whether the exception should be accepted or not. The final decision shall be taken by Gold Standard. Examples could include where a Project introduces a major innovation, makes a major positive contribution to sustainable development or where a legitimate body of affected stakeholders is empowered to make decisions on such matters.

4+7| SAFEGUARDING PRINCIPLES AND REQUIREMENTS

P.1 | HUMAN RIGHTS¹

The Gold Standard:

- a. Recognises the centrality of human rights to sustainable development, poverty alleviation and ensuring fair distribution of development opportunities and benefits; and supports “universal respect for, and observance of, human rights and fundamental freedoms for all”².
- b. Does not **recognise** or support Project **Activities** that may contribute to violations of a State’s human rights obligations and the core international human **rights treaties**³ **and** seeks to support the protection and fulfilment of human rights.
- c. Upholds the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth, **health status** or other status including as an indigenous person or as a member of a minority.
- d. **Recognises the human right to development which also implies the full realization of the right of peoples to self-determination, which includes, subject to the relevant provisions of both International Covenants on Human Rights, the exercise of their inalienable right to full sovereignty over all their natural wealth and resources.**

The **GS4GG** Certification requires that

¹ For further guidance refer to Fact sheet on *Frequently Asked Questions on human rights and climate change*, 2021, Office of the United Nations High Commissioner for Human Rights (OHCHR)

² Charter of the United Nations, Article 1, para 3.
<https://www.un.org/en/about-us/un-charter/chapter-1>

³ These include the following: International Convention on the Elimination of All Forms of Racial Discrimination (1969), International Covenant on Civil and Political Rights (1976), International Covenant on Economic, Social and Cultural Rights (1976), Convention on the Elimination of All Forms of Discrimination against Women (1981), Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1987), Convention on the Rights of the Child (1990), International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (2003), International Convention for the Protection of All Persons from Enforced Disappearance (2010), Convention on the Rights of Persons with Disabilities (2008).

P.1.1.1 | The Project Developer and the Project shall respect internationally proclaimed human rights and shall not be complicit in violence or human rights abuses of any kind as defined in the [Universal Declaration of Human Rights](#).

P.1.1.2 | The Project shall not discriminate with regards to participation and inclusion.

P.1.1.3 | **The project shall not undermine the national or regional measures for the realization of the right to development.**

P.2 | GENDER EQUALITY AND WOMEN'S EMPOWERMENT

The Gold Standard:

- a. Promotes gender equality and the empowerment of women.
- b. Does not **recognise** Project [activities](#) that contribute to discrimination against women [or girls](#) or reinforce gender-based discrimination and/or inequalities.
- c. Recognises and seeks to contribute to SDG 5 – Achieve gender equality and empower all women and girls. The Project Developers shall refer to the [Gold Standard Gender Equality Requirements Guidelines](#) and [Gold Standard Gender Policy](#) for further details in this regard.

The [GS4GG](#) Certification requires **that:**

P.2.1.1 | The Project [Activity](#) shall not directly or indirectly reinforce gender-based discrimination and shall not lead to/contribute to adverse impacts on gender equality and/or the situation of women. Specifically, this shall include (not exhaustive):

- a. Sexual harassment and/or any forms of violence against women – address the multiple risks of gender-based violence ([GBV](#)), including sexual exploitation or human trafficking.
- b.** [Slavery, imprisonment, physical and mental drudgery, punishment or coercion of women and girls.](#)
- c.** [Risk that a project inadvertently increases women's work burden and time poverty as these affect women's freedom of choice and well-being.](#)
- b-d.** [Restriction of women's rights or access to resources \(natural or economic\).](#)
- e.** [Recognise women's ownership rights regardless of marital status – adopt project measures where possible to support to women's access to inherit and own land, homes, and other assets or natural resources.](#)

P.2.1.2 | Projects shall apply the principles of **non-discrimination**, equal treatment, and equal pay for equal work, specifically:

- a. Where appropriate for the implementation of a Project, paid, volunteer work or community contributions will be organised to provide the conditions for equitable participation of men and women in the identified tasks/activities.

b. Introduce conditions that ensure the participation of women or men in Project activities and benefits based on pregnancy, maternity/paternity leave, or marital status.

c. Inform both women and men about project objectives in a manner that is appropriate to the local context and tailored to their methods of understanding, and ensure the engagement of women and men throughout the programme or project cycle

b.d. Ensure that these conditions do not limit the access of women or men, as the case may be, to Project participation and benefits.

P.2.1.3 | The Project shall refer to the country's national gender strategy or equivalent national commitment to aid in assessing gender risks.

P.2.1.4 | Based on the responses to requirements above, Gold Standard may require that the Project seek the input of an Expert Stakeholder(s) and to include their recommendations in the Project design.

P.3 | COMMUNITY HEALTH AND SAFETY⁴

The Gold Standard:

- a. Ensures that projects anticipate and avoid adverse impacts on the health and safety of affected communities from both routine and non-routine circumstances during the Project's life cycle.
- b. Ensures that projects provide workers with safe and healthy working conditions and prevents accidents, injuries, and disease.

The GS4GG Certification requires that

P.3.1.1 | The project activity shall avoid community exposure to increased health risks (e.g., pollution, contaminated areas/resources) and disease⁵ and shall not adversely affect the health of the workers and the community.

P.3.1.2 | The project shall

⁴ Community health and safety refers to protecting local communities from hazards caused and/or exacerbated by project activities (including flooding, landslides, contamination or other natural or human-made hazards), disease, and the accidental collapse or failure of project structural elements such as dams. Project-related activities may directly, indirectly, or cumulatively change community exposure to hazards. A significant concern with major development projects is the spread of communicable diseases from the workforce to the surrounding communities.

⁵ Such as (but not limited to) transmission of water-related and vector-borne diseases, and communicable and noncommunicable diseases, injuries, nutritional disorders, mental health, and well-being that could result from the Project, taking into consideration the differentiated exposure to and higher sensitivity of marginalised groups, including communities living in voluntary isolation

- undertake appropriate health and safety assessment with considering safety risks to communities, and
- adopt appropriate avoidance, minimization, and mitigation measures following national legal requirements, good international practice⁶ and favouring the prevention or avoidance of risks and impacts over their minimization and reduction, and
- ensure accidents or incidents associated with projects are appropriately recorded, reported and addressed, and emergency preparedness and response plans are in place.

P.3.1.3 | The assessment and adopted management measures shall take into account differences in risk exposure and sensitivity of women and men, as well as marginalized and disadvantaged groups, including children, older persons, persons with disabilities, minorities, and indigenous people.

P.3.1.4 | The project shall put measures in place to protect workers from 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.

P.4 | CULTURAL HERITAGE, INDIGENOUS PEOPLE, DISPLACEMENT AND RESETTLEMENT

The Gold Standard:

- a. Promotes and supports the protection and preservation of cultural heritage⁷ and the equitable sharing of benefits from the use of cultural heritage.

⁶ For example - IFC Environmental, Health and Safety Guidelines (EHS Guidelines), available at <http://www.ifc.org/ehsguidelines>.

⁷ The term "Cultural Heritage" includes tangible and intangible heritage which may be recognized and valued at the local, regional, national, or global level, as follows

Tangible Cultural Heritage includes moveable or immovable objects, sites, structures, groups of structures, human settlements and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance such as such as sacred groves, rocks, lakes, and waterfalls. Tangible Cultural Heritage may be located in any setting and in any environment (e.g., above or below ground or under water).

Intangible Cultural Heritage, also referred to as living heritage, includes practices, representations, expressions, knowledge, skills—as well as the instruments, objects, artefacts and cultural spaces associated therewith—that communities/groups recognize as part of their Cultural Heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and

- b. Advocates the avoidance of inappropriate alteration, damage, disruption, or removal of artifacts and objects of cultural value.
- b.c. Promotes meaningful consultation with stakeholders including women and youth, regarding preservation, protection, utilization, and management of Cultural Heritage.
- c.d. Recognises and respects the prohibition of forced evictions and the use of violence generally.
- e. Recognize all land and natural resource users with a legitimate claim, including claimants who have informal or customary tenure rights.
- d.f. Recognises and fosters full respect for indigenous people's human rights as recognised under Applicable Law, including but not limited to their rights to self-determination, their lands, resources and territories, traditional livelihoods and cultures.
- e.g. Ensures that Projects that may impact indigenous peoples and local farmers are designed in a spirit of partnership with them, with their full and effective participation, with the objective of securing their free, prior, and informed consent (FPIC) where their rights, lands, resources, territories, traditional livelihoods may be affected.

P.4.1 | Sites of cultural and historical heritage

The GS4GG Certification requires that

- P.4.1.1 | The Project shall not involve or be complicit in the alteration, damage, or removal of any sites, objects, or structures of significant cultural heritage.
- P.4.1.2 | Where a Project proposes to utilise Cultural Heritage, including the knowledge, innovations, or practices of local communities, affected communities shall be informed of:
 - a. Their rights under Applicable Law⁸,
 - b. The scope and nature of the proposed commercial development; and
 - c. The potential consequences of such development.

their history and provides them with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity. This may include, but is not limited to, a. oral traditions and expressions, including language as a vehicle of the intangible Cultural Heritage; b. performing arts; c. social practices, rituals, and festive events; d. knowledge and practices concerning nature and the universe; or e. traditional craftsmanship.

⁸ Cultural Heritage is preserved, protected, and promoted in mitigation activities in a manner consistent with UNESCO Cultural Heritage conventions or any other national or international legal instruments that might have a bearing on the use of Cultural Heritage

P.4.1.3 | The Project shall provide for equitable sharing of benefits from commercialisation of such knowledge, innovation, or practice, consistent with their customs and traditions.

P.4.1.4 | The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design.

P.4.2 | Forced Eviction and Displacement

The [GS4GG](#) Certification requires that

P.4.2.1 | The Project shall not involve and shall not be complicit in the involuntary relocation of people.

P.4.2.2 | Projects shall avoid physical (i.e., relocation or loss of shelter) and economic displacement (i.e., loss of assets or access to assets that leads to loss of income sources or means of livelihood), and mitigate displacement impacts and risks on displaced persons and host communities when displacement cannot be avoided. In such cases, the Project shall integrate into the Project documentation resettlement Action Plan and/or Livelihood Action Plan as appropriate. The action plans will be developed in accordance with international best practice and in full consultation and agreement with affected individual, group or community. Please refer to [UNDP Standard 5: Displacement and Resettlement](#)⁹ requirements for further details in this regard.

P.4.2.3 | The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design, where project involves physical or economic displacement.

P.4.3 | Land ~~t~~enure and other rights

The [GS4GG](#) Certification requires that

P.4.3.1 | The Project Developer shall identify all such sites/matters such as reform, modification, regularization, redistribution, recording, registration or inventory of legitimate tenure rights potentially affected by the Project. For all such sites/matters identified, the Project shall respect and safeguard:

- a. Legal rights, or
- b. Customary rights, or

⁹ UNDP's Social and Environmental Standards;
<https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html>

- c. Special cultural, ecological, economic, **religious**, or spiritual significance of people shall be demonstrably promoted/protected.

P.4.3.2 | Changes in legal arrangements must be in line with relevant laws and regulations and must be carried out in strict adherence with such laws. All legal disputes must be resolved prior to the Project being carried out in such areas. All such changes must be demonstrated as having been agreed with free, **prior**, and informed consent.

P.4.3.3 | The Project Developer must hold uncontested land title for the entire Project Boundary to complete Project Design Certification.

P.4.3.4 | The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design.

~~P.4.3.4~~ P.4.3.5 | The project shall provide means for the affected to voice their grievances ensuring there is a functioning mechanism in place to receive, process, resolve, communicate and record grievances. (as required by GS4GG stakeholder consultation and engagement requirements)

P.4.4 | Indigenous peoples¹⁰

The **GS4GG** Certification requires that

P.4.4.1 | The Project Developer shall identify all communities of Indigenous People within the Project area of influence who may be affected¹¹ directly or

¹⁰ There is no one universally accepted definition of indigenous peoples. For purposes of this Standard "Indigenous peoples" refers to distinct collectives, regardless of the local, **national**, and regional terms applied to them (For example, "tribal people", "first peoples", "scheduled tribes", "pastoralist", "hill people."), who satisfy any of the more commonly accepted definitions of indigenous peoples.

Including but not limited to those provided for in the Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO Convention No. 169), the Study on the Problem of Discrimination against Indigenous Populations (the "Martinez Cobo Study"), and the Working Paper on the Concept of "Indigenous People" prepared by the Working Group on Indigenous Populations. The core principles of the Policy are: self determination; respect for indigenous knowledge, cultures and traditional practices that contribute to sustainable and equitable development; and Free, prior and informed consent (FPIC).

¹¹ Project activity may affect the human rights, lands, natural resources, territories, Cultural Heritage and/or traditional livelihoods of indigenous peoples regardless of whether

- i. the project is located within or outside of the lands and territories inhabited by the indigenous peoples in question,

indirectly by the Project. In some countries, Indigenous Peoples may be referred to by other terms, such as 'ethnic groups or minorities', 'aboriginals', 'hill tribes', 'minority nationalities', 'scheduled tribes', 'first nations', 'tribal groups', 'pastoralists', 'hunter-gatherers', 'nomadic groups', 'forest dwellers' or other terms. Regardless of the terminology used, these requirements shall apply and these groups should be referred to by the internationally agreed term, 'Indigenous Peoples', when appropriate.

P.4.4.2 | As part of the design process, the programme or project shall carry out an environmental and social analysis of the activities that may affect or involve Indigenous Peoples. The analysis shall verify whether Indigenous Peoples reside in the proposed project areas and/or if the activities may affect Indigenous Peoples outside of project areas. The assessment shall include the potential impacts on their rights, lands, territories, gender relations and resources.

P.4.4.3 | The project shall not result in the forcible removal of indigenous people from their lands and territories.

~~P.4.4.2~~ P.4.4.4 | The Project Developer shall recognise and respect the indigenous people's 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.

~~P.4.4.3~~ P.4.4.5 | The Project Developer shall respect, protect, conserve and shall not take the cultural, intellectual, religious, and/or spiritual property of indigenous people without their free, prior and informed consent (FPIC)¹².

~~P.4.4.4~~ P.4.4.6 | The Project Developer shall ensure that the indigenous people are provided with the equitable sharing of benefits to be derived from utilisation and/or commercial development of natural resources on lands and territories or use of their traditional knowledge and practices by the Project. This shall be done in a manner that is culturally appropriate and inclusive and that does not impede land rights or equal access to basic services including health services, clean water, energy, education, safe and decent working conditions, and housing.

ii. a title is possessed by the affected indigenous peoples over the lands and territories in question, or

iii. the indigenous peoples are recognized as indigenous peoples by the country in question.

¹² All three elements within FPIC are interconnected and are part of the whole. Consent shall be sought before any project, plan or action takes place (prior); it shall be independently decided upon (free); and based on accurate, timely and sufficient information provided in a culturally appropriate way (informed) for it to be considered a valid result or outcome of a collective decision making process.

P.4.4.7 | If it is determined that the proposed project may affect the rights, lands, resources, or territories of indigenous people, an "Indigenous People Plan" (IPP)¹³ or "Indigenous People Plan Framework" shall be elaborated and included in the project documentation. This plan shall be developed in accordance with the effective and meaningful participation of indigenous peoples and in accordance with UNDP Guidelines¹⁴.

P.4.4.8 | As accordance to GS4GG stakeholder consultation and engagement requirements, projects shall make available mutually agreed, culturally appropriate, accessible and inclusive channels for feedback and grievance redress to Indigenous Peoples and their representatives. The grievance mechanism shall be established at the beginning of programme or project implementation with due consideration given to customary dispute settlement mechanisms among the Indigenous Peoples concerned and remain operational throughout the project cycle. A conflict resolution mechanism should be also discussed, agreed and developed during the early stages of the programme or project cycle.

~~P.4.4.5~~ P.4.4.9 | The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design.

P.5 | CORRUPTION

The Gold Standard Does not recognise Projects that engage in, contribute to, or reinforce corruption of any kind.

The GS4GG Certification requires that

P.5.1.1 | The Project shall not involve, be complicit in or inadvertently contribute to or reinforce corruption or corrupt Projects.

P.6 | ECONOMIC IMPACTS

The Gold Standard:

- a. Promotes equitable, sustainable economic growth and stability and Projects that are appropriate and considerate of the economic situation in which they are developed.

¹³ The IPP shall identify potential risks and impacts, risk avoidance and mitigation measures, and specify measures for provision of culturally appropriate benefits, continued consultation and participation processes, grievance procedures, monitoring and evaluation procedures, and a budget and financial plan for implementing agreed measures. In no case shall project activities that may adversely affect indigenous peoples, including the existence, value, use or enjoyment of their lands, resources or territories take place before the action plan is carried out.

¹⁴ UNDP SES Guidance Note Standard 6 Indigenous Peoples

- b. Ensures that projects respect and promote **fundamental principles and rights at work**¹⁵, promote the right to decent work, fair treatment, non-discrimination, and equal opportunity for workers, and **prevent** the use of forced labour and child labour.
- c. Ensure projects comply with national employment and labour laws and international commitments.
- ~~b-d.~~ Prioritises appropriate and properly considered local employment and procurement wherever possible.
- e. Recognises the principle leave no one behind by protecting and supporting workers at heightened risk, with a special focus, as appropriate, on women workers, young workers, migrant workers, workers in the informal economy and workers with disabilities.
- ~~e-f.~~ Ensures safe and healthy working conditions, and the health of workers.

P.6.1 | Labour Rights and Working Conditions

The **GS4GG** Certification requires that:

- P.6.1.1 | The Project Developer shall ensure that there is no forced labour^{16,17} and that all employment is in compliance with national labour and occupational health and safety laws, with obligations under international law, and

¹⁵ These principles and rights are articulated in the **ILO Declaration on Fundamental Principles and Rights at Work** (1998).

¹⁶ This prohibition covers any kind of involuntary or compulsory labour, such as indentured labour, bonded labour, or similar labour-contracting arrangements. No trafficked persons may be employed in connection with the project activities.

Trafficking in persons is defined as the recruitment, transportation, transfer, **harboring** or receipt of persons by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purposes of exploitation. Women and children are particularly vulnerable to trafficking practices.

¹⁷ 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 project. Where cases of forced labour are identified, immediate steps shall be taken to correct and remedy them

consistency with the principles and standards embodied in the International Labour Organization (ILO) fundamental conventions^{18, 19}. It requires that:

- a. Workers shall be able to establish and join labour organisations.
- b. Working agreements with all individual workers shall be documented and implemented. These shall, at minimum, comprise:
 - i. Working hours (must not exceed 48 hours per week on a regular basis), AND
 - ii. Duties and tasks, AND
 - iii. Remuneration (must include provision for payment of overtime), AND
 - iv. Modalities on health insurance, AND
 - v. Modalities on termination of the contract with provision for voluntary resignation by employee, AND
 - vi. Provision for annual leave of not less than 10 days per year, not including sick and casual leave.
 - vii. Provision for maternity, vacation, or holidays
- c. Where such agreements do not exist, or do not address working conditions and terms of employment²⁰, the project developer shall provide reasonable working conditions and terms of employment²¹.
- d. Where migrant workers are engaged the project developer shall ensure that they are engaged on substantially equivalent terms and conditions to non-migrant workers carrying out similar work.

¹⁸ ILO Conventions Nos. 29 and 105 (forced and bonded labour), 87 (freedom of association), 98 (right to collective bargaining), 100 and 111 (discrimination), 138 (minimum age), 182 (worst forms of child labour).

¹⁹ Where these are contradictory and a breach of one or other cannot be avoided, then guidance shall be sought from Gold Standard.

²⁰ Working conditions and terms of employment examples are wages and benefits; wage deductions; hours of work; overtime arrangements and overtime compensation; breaks; rest days; and leave for illness, maternity, vacation, or holiday.

²¹ Reasonable working conditions and terms of employment could be assessed by reference to i. conditions established for work of the same character in the trade or industry concerned in the area/region where the work is carried out. ii. collective agreement or other recognized negotiation between other organizations of employers and workers' representatives in the trade or industry concerned, iii. arbitration award; or iv. conditions established by national law.

e. Where accommodation services²² are provided to workers covered by the scope of this Principle, the project developer shall put in place and implement policies on the quality and management of the accommodation and provision of basic services²³. The accommodation services will be provided in a manner consistent with the principles of non-discrimination and equal opportunity. Workers' accommodation arrangements should not restrict workers' freedom of movement or of association.

P.6.1.2 | The employment decisions shall be based on Principle of equal opportunity and fair treatment. The project:

- a. shall not make employment decision based on gender, race, nationality, ethnic, social, and indigenous origin, religion or belief, disability, age, or sexual orientation - unrelated to inherent job requirements.
- b. shall not discriminate with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, and disciplinary practices.
- c. shall take measures to prevent and address harassment, intimidation, and/or exploitation, especially in regard to women. The principles of non-discrimination apply to migrant workers.

P.6.1.3 | The project shall comply with national law, where national law provides provision to address non-discrimination in employment. When national laws are silent on non-discrimination in employment, the project shall meet the requirements outlined in this document. In circumstances where national law is inconsistent with this Standard, the project developer is encouraged to carry out its operations consistent with the intent of paragraph P.6.1.2 above without contravening applicable laws.

P.6.1.4 | Child labour, as defined by the [ILO Minimum Age Convention \(No. 138\)](#)²⁴ and [ILO Worst Forms of Child Labour Convention, 1999, \(No. 182\)](#) is

²² Those services might be provided either directly by the project developer or by third parties.

²³ Basic services requirements refer to minimum space, supply of water, adequate sewage and garbage disposal system, appropriate protection against heat, cold, damp, noise, fire, and disease-carrying animals, adequate sanitary and washing facilities, ventilation, cooking and storage facilities and natural and artificial lighting, and in some cases basic medical services.

²⁴ ILO Conventions and Recommendations on child labour; To be consistent with the [ILO Minimum Age Convention, 1973 \(No. 138\)](#), the

not allowed. The Project Developer shall use adequate and verifiable mechanisms for age verification in recruitment procedures and validated and verified by VVB.

P.6.1.5 | A child under the age of **eighteen** shall not perform work in connection with or arising from the project activities which, by its nature or the circumstances in which it is carried out, is likely to harm his/her health, safety or morals. Such work is determined by national laws or regulations or by the competent authority and commonly specified in national lists of hazardous work prohibited to children. In the absence of such regulations, guidance on hazardous work to be prohibited in connection with the project should derive from the relevant ILO instruments²⁵. In addition, a child under the age of **eighteen** shall not, in connection with project activities, perform work that is likely to interfere with his/her compulsory education or be harmful to his/her physical, mental, spiritual, **moral**, or social development.

~~P.6.1.2~~ P.6.1.6 | Exceptions are children for work on their families' property as long as:

- a. Their compulsory schooling (minimum of 6 schooling years) is not hindered, AND
- b. The tasks they perform do not harm their physical, mental, spiritual, **moral**, or social development, AND
- c. The opinions and recommendations of an Expert Stakeholder shall be sought and demonstrated as being included in the project design.

P.6.1.7 | The project developer shall implement necessary processes and measures that address the safety and health of project workers shall be in place to support project design, planning and implementation. These processes and measures may be encompassed and implemented through the applicable

applicable minimum age shall not be less than the age of completion of compulsory schooling and, in principle, not less than 15 years.

²⁵ Refer to ILO Worst Forms of Child Labour Convention, 1999 (No. 182) and ILO Worst Forms of Child Labour Recommendation, 1999 (No. 190). Examples of hazardous work activities prohibited for children include work: (a) with exposure to physical, psychological or sexual abuse; (b) underground, underwater, working at heights or in confined spaces; (c) with dangerous machinery, equipment or tools, or involving handling or transport of heavy loads; (d) in unhealthy environments exposing children to hazardous substances, agents, or processes, or to temperatures, noise or vibration damaging to health; or (e) under particularly difficult conditions such as work for long hours, during the night or in unreasonable confinement on the premises of the employer.

occupational safety and health management system²⁶ or processes and shall address:

- a. Identification and assessment of potential hazards and risks, particularly those that could result in severe injury, ill health or death and those identified through worker health surveillance.
- b. Elimination of hazards and minimization of risks through implementation of preventive and protective measures in the following order of priority: elimination or substitution, engineering and organizational controls, administrative controls, and where residual hazards and risks cannot be controlled through these collective measures, provision of personal protective equipment at no cost to the worker.
- c. Safety and health training, including on the proper use and maintenance of personal protective equipment conducted by competent persons and the maintenance of training records;
- d. Recording and documenting accidents, disease, incidents and any resulting injuries, ill health, or death,
- e. Emergency prevention and preparedness and response measures to address emergency situations,
- a.f. Employment injury benefits and/or remedies for adverse impacts such as occupational injuries, disability, ill health or disease and death.

P.6.1.8 | The project developer and relevant parties who employ or engage project workers shall put in place the above safety and health processes and measures to prevent and protect workers from chemical, physical, biological, and psychosocial hazards and to establish and maintain safe and healthy workplaces including the work environment, organization, processes, tools machinery and equipment.

P.6.1.9 | The project developer shall implement appropriate measures

- a. to protect and provide assistance to address the vulnerabilities of project workers, including specific groups of workers, such as women, persons with disabilities, migrant workers, and young workers. AND

²⁶ ILO Guidelines on Occupational Safety and Health Management systems, 2001. See also United Nations Common System Occupational Safety and Health Framework, Chief Executives Board, 31 March 2015

- b. to prevent and address any form of violence and harassment, bullying, intimidation and/or exploitation, including any form of gender-based violence (GBV).

P.6.1.10 | In accordance to the GS4GG stakeholder engagement requirements, the project developer shall provide access to workers (and their organizations, where they exist) to grievance mechanism to raise workplace concerns of violations of existing rights and entitlements as provided for in legislation, collective agreements, employment contracts and human resources policies. The project developer shall inform the workers of the grievance mechanism at the time of recruitment and make accessible to them. Measures shall be put in place to make the grievance mechanism easily accessible to all workers.

P.6.1.11 | Where project workers are engaged by third parties, the project developer shall

- a. put in place mechanism e.g. due diligence that includes an examination of the past and current labour practices of the contractor or third party, and audits to ascertain that third parties who engage workers are legitimate and reliable and have in place appropriate policies, processes and systems that allow them to operate in accordance with the minimum requirements herein.
- b. establish policies and procedures for managing and monitoring the performance of such **third-party** employers in relation to the minimum requirements herein.

P.6.1.12 | Where project's primary suppliers²⁷ (supply chain workers) are involved, in a sector known for involving child or forced **labour** or significant safety violations, the project developer shall

- a. assess if there are any incidents of child **labour**, forced **labour** or significant safety issues
- b. monitor its primary supply chain on an ongoing basis and take corrective action to remedy if new risks or incidents of child and/or forced **labour** are identified.

P.6.2 | Negative Economic Consequences

The GS4GG Certification requires that

²⁷ Primary suppliers are those suppliers who, on an ongoing basis, provide goods or materials essential for the core business processes of the project. There is no direct contractual or labor relationship between the project developer and the workers at supplier level, and costs and benefits are paid by primary suppliers.

P.6.2.1 | The Project Developer shall demonstrate the financial sustainability of the Projects implemented, also including those that will occur beyond the Project Certification period.

P.6.2.2 | The Projects shall consider economic impacts and demonstrate a consideration of potential risks to the local economy and how these have been taken into account in project design, implementation, operation and after the Project. Particular focus shall be given to vulnerable and marginalised social groups in targeted communities and that benefits are socially inclusive and sustainable.

P.7 | CLIMATE AND ENERGY

The Gold Standard

a. promotes Climate Security (mitigation and adaptation) and Sustainable Development.

a-b. Promote sustainable use of energy.

P.7.1 | Emissions

The GS4GG certification requires that

P.7.1.1 | Projects shall not increase greenhouse gas emissions over the Baseline Scenario unless this is specifically allowed within Activity Requirements or Gold Standard Approved Impact Methodologies.

P.7.2 | Energy supply

The Gold Standard that

P.7.2.1 | The Project shall not affect the availability and reliability of energy supply to other users.

P.8 | WATER

The Gold Standard

a. Promotes sustainable and efficient use of waste resources to avoid adverse impacts on water resources and water-related ecosystems, including mountains, coasts, oceans, forests, wetlands, rivers, aquifers and lakes.

P.8.1 | Impact on Natural Water Patterns/Flows

The GS4GG Certification requires that

P.8.1.1 | The Project shall ensure that water resources are conserved.

a. For surface waters this means:

i. Maintaining credible environmental flows, demonstrated by providing a verifiable calculation that shows water flows are maintained, and

ii. Ensuring that any discharged wastewater is of a high enough standard to allow beneficial reuse.

b. For ground water this means:

i. limiting abstractions to levels less than, or equal to, rates of recharge. Managed aquifer recharge may be used to conserve groundwater resources.

~~P.8.1.1~~ ~~P.8.1.2~~ | The opinions and recommendations of Expert Stakeholder(s) that help demonstrate compliance with the above shall be included in the project design and Monitoring Plan.

P.8.2 | Erosion and/or Water Body Instability

The [GS4GG](#) Certification requires that

P.8.2.1 | The risk of the Project negatively impacting the catchment shall be assessed and addressed.

P.8.2.2 | The Project shall demonstrate that measures will be undertaken to ensure that surface and ground waters are protected from erosion and that these measures are in place prior to the commencement of the Project.

P.8.2.3 | The Project shall demonstrate that measures to ensure soil protection and minimised erosion are in place prior to the commencement of the Project.

P.8.2.4 | Measures shall be incorporated to reduce soil erosion on slopes (e.g., hedge and tree rows, natural terracing, infiltration strips, permanent ground cover). For these measures, the concept of the effective slope length shall be taken into account.

P.8.2.5 | The success of measures shall be reassessed at a frequency appropriate to the context of the ecosystem affected.

P.8.2.6 | The opinions and recommendations of Expert Stakeholder(s) that help demonstrate compliance with the above shall be included in the project design and Monitoring Plan.

P.9 | ENVIRONMENT, ECOLOGY AND LAND USE

The Gold Standard:

a. promotes sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions

a.b. Ensures a precautionary approach to natural resource conservation and avoids negative environmental impacts.

P.9.1 | Landscape Modification and Soil

The [GS4GG](#) Certification requires that

P.9.1.1 | The Project shall identify the functions and services provided by the landscape and demonstrate no net degradation of soil resources and the loss of ecosystem services provided by soils.

P.9.1.2 | To ensure healthy soils the following aspects shall be identified, and appropriate measures shall be put in place to minimize adverse impacts on soils, their biodiversity, organic content, productivity, structure, and water-retention capacity.

~~P.9.1.2~~ **P.9.1.3 |** Measures shall be incorporated to minimise soil degradation (e.g., through crop rotation, composting, no use of heavy machinery, use of N-fixing plants, reduced tillage, no use of ecologically harmful substances).

~~P.9.1.3~~ **P.9.1.4 |** Projects that involve the production, harvesting, and/or management of living natural resources by small-scale landholders and/or local communities shall adopt the appropriate and culturally sensitive sustainable resource management practices.

P.9.2 | Vulnerability to Natural Disaster

The [GS4GG](#) Certification requires that

P.9.2.1 | The Project shall avoid or minimise the exacerbation of impacts caused by natural or man-made hazards, such as landslides or floods that could result from land use changes due to Projects.

~~P.9.2.1~~ **P.9.2.2 |** The Project Developer shall include mitigation measures (if possible), the emergency preparedness plan and response strategies. The Project Developer shall disclose appropriate information about emergency preparedness and response Projects, resources, and responsibilities to affected communities.

P.9.3 | Biosafety and Genetic Resources

The [GS4GG](#) Certification requires that

P.9.3.1 | The projects that may involve the transfer, handling and use of genetically modified organisms/living modified organisms (GMOs/LMOs) that result from modern biotechnology and that may have adverse effects on biological diversity, the project developer shall ensure that a risk assessment by a competent Expert stakeholder is carried out in accordance with Annex III of the Cartagena Protocol on Biosafety to the Convention on Biological Diversity.

P.9.3.2 | The project developer shall ensures that projects involving GMOs/LMOs include measures to manage any risks identified in the risk assessment.

~~P.9.3.1~~ **P.9.3.3 |** Forestry projects (for example Afforestation/Reforestation) involving GMO planting are not eligible for Certification under Gold Standard for the Global Goals.

P.9.4 | Release of pollutants

The [GS4GG](#) Certification requires that

- P.9.4.1 | The Project shall avoid the release of pollutants²⁸ from routine, non-routine, and accidental releases. If emissions cannot be avoided, the project shall minimize and control the intensity and flow. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances²⁹.
- P.9.4.2 | The Project Developer shall ensure that pollution prevention³⁰ and control technologies and practices consistent with national regulation or international good practice are applied during the Project life cycle.
- P.9.4.3 | All potential pollution sources that may result from the Project that cause the degradation of the quality of soil, air, surface, and groundwater within the Project's area of influence shall be identified. Appropriate mitigation measures and monitoring shall be implemented to ensure the protection of resources. The project can use historical records, ongoing monitoring, and reporting through data logging of physical measurements, online sources, government data. The recommended methods include quantitative documentation of all sources and volumes of water abstractions, use of weirs and gauges, flow meters, pump energy consumption, transpiration rates, government data.

P.9.5 | Hazardous and Non-hazardous Waste

The GS4GG Certification requires that

- P.9.5.1 | The project developer shall avoid the generation of hazardous and non-hazardous waste materials and implement a waste management hierarchy that prioritizes the avoidance of the generation of waste. Where waste generation may not be avoided,
- a. The Project shall minimise waste generation and wastes shall be recover, recycle and reuse in a safe manner.
 - b. Where waste may not be recovered or reused, it shall be treated, destroyed, or disposed of in an environmentally sound manner

²⁸ The term "pollution" refers to both hazardous and non-hazardous pollutants in the solid, liquid, or gaseous phases, and includes other components such as pests, pathogens, thermal discharge to water, GHG emissions, nuisance odours, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light.

²⁹ Including those covered under the Convention on Long-range Transboundary Air Pollution, available at <https://unece.org/convention-and-its-achievements>

³⁰ The term "pollution prevention" does not mean absolute elimination of emissions, but the avoidance at source whenever possible, and, if not possible, then subsequent minimization of pollution to the extent that the intent and objectives of this safeguard are satisfied.

that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material.

P.9.5.2 | If the generated waste is considered hazardous³¹, reasonable alternatives for its environmentally sound disposal will be adopted while adhering to the limitations applicable to its transboundary movement³².

~~P.9.5.1~~ P.9.5.3 | Projects shall avoid or, when avoidance is not feasible, minimise and control release of hazardous materials resulting from their production, transportation, handling, **storage**, and use. Where avoidance is not possible, the health risks, including potential differentiated effects on men, **women**, and children, of the potential use of hazardous materials shall be addressed appropriately. **Project shall consider the special vulnerabilities faced by workers as well as low-income communities, peoples with disabilities, indigenous peoples and minorities to hazardous materials.**

~~P.9.5.2~~ P.9.5.4 | Projects shall consider the use of less hazardous substitutes for such chemicals and materials and **shall** avoid the manufacture, trade, and use of chemicals and hazardous materials subject to international bans or phase-outs due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential for depletion of the ozone layer³³, **unless for acceptable purposes as defined by the conventions or protocols e.g. the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention).**

~~P.9.5.3~~ P.9.5.5 | The Project shall not make use of chemicals or materials subject to international bans or phase-outs. For example, DDT, PCBs and other chemicals listed in international conventions such as the **Stockholm Conventions on Persistent Organic Pollutants** or the **Montreal Protocol**.

³¹ Similar considerations will apply to certain World Health Organization (WHO) classes of pesticides.

³² Transboundary movement of hazardous materials should be consistent with national, regional and international law, including the **Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal**, available at <http://www.basel.int>, and the **London Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter**, available at <http://www.imo.org>. For further guidance, the **Strategic Approach to International Chemicals Management (SAICM)** is a policy framework to foster the sound management of chemicals, available at <http://www.saicm.org/>.

³³ As defined by international conventions or local legislation. Where local legislation and international conventions may diverge, the higher standard will apply.

P.9.6 | Pesticides & Fertilisers

The [GS4GG](#) Certification requires that

- P.9.6.1 | [For activities](#) involving pest management, the integrated pest management (IPM) and /or integrated vector management (IVM) approaches³⁴ shall be adopted and aim to reduce reliance on chemical pesticides. [A Pest Management Plan shall be developed where use of a significant volume of pesticides is foreseen to demonstrate how IPM/IVM is promoted to reduce reliance on pesticides and describes measures to minimize risks of pesticide use.](#)
- P.9.6.2 | The health and environmental risks associated with pest management should be minimised with support, as needed, to institutional capacity development, to help regulate and monitor the distribution and use of pesticides and enhance the application of integrated pest management.
- P.9.6.3 | When Projects include pest management or the use of [chemical](#) pesticides, pesticides that are low in human toxicity, known to be effective against the target species and have minimal effects on non-target species and the environment shall be selected. [When the project developer selects chemical pesticides, the selection shall be based upon requirements that the pesticides be packaged in safe containers, be clearly **labelled** for safe and proper use, and that the pesticides have been manufactured by an entity currently licensed by relevant regulatory agencies.](#)
- P.9.6.4 | There shall be a 'Chemical Pesticides Policy' that is documented, [implemented](#), and regularly updated. This policy shall include at a minimum:
- a. Provisions for safe transport, storage, [handling](#), and application, AND
 - b. Provisions for emergency situations.
- P.9.6.5 | The Project Developer shall not purchase, store, manufacture, trade or use products that fall in Classes IA (extremely hazardous) and IB (highly hazardous) of the [World Health Organization Recommended Classification of](#)

³⁴ [Integrated Pest Management \(IPM\) and Integrated Vector Management \(IVM\) approaches entail coordinated use of pest and environmental information along with available pest/vector control methods, including cultural practices, biological, genetic and, as a last resort, chemical means to prevent unacceptable levels of pest damage. If after having considered such approaches recourse to pesticide use is deemed necessary, adopt safe, effective and environmentally sound pest management in accordance with the WHO/FAO International Code of Conduct on Pesticide Management for the safe labelling, packaging, handling, storage, application and disposal of pesticides. Hazards of pesticide use are to be carefully considered and the least toxic pesticides selected that are known to be effective, have minimal effects on non-target species and the environment, and minimize risks associated with development of resistance in pests and vectors.](#)

Pesticides by Hazard. The project developer shall not purchase, store, use, manufacture, or trade in Class II (moderately hazardous) pesticides, unless the project has appropriate controls on manufacture, procurement, or distribution and/or use of these chemicals. These chemicals shall not be accessible to personnel without proper training, equipment, and facilities to handle, store, apply, and dispose of these products properly.

P.9.6.6 | Fertilisers³⁵ shall be avoided, or fertiliser use shall be minimised to ensure optimize the effective and efficient use of fertilizers³⁶ to meet agricultural demands while minimizing nutrient losses to the environment. The project developer should put measures in place to preserve ecosystem services and minimize environmental impacts from the use of fertilizers including soil and water pollution, ammonia volatilization, greenhouse gas emissions and other nutrient loss mechanisms. In this context, the management practices that produce the most positive overall effect should be adopted in accordance with the International Code of Conduct on Sustainable Use and Management of Fertilizers (FAO, 2019d).

P.9.7 | Harvesting of Forests

The GS4GG Certification requires that

P.9.7.1 | The Project shall:

- a. Enhance the sustainable management of forests, including the application of independent, credible certification for commercial, industrial-scale timber harvesting, AND
- b. Maintain or enhance biodiversity and ecosystem functionality in areas where improved forest management is undertaken. And/or
- c. Ensure that plantations are environmentally appropriate, socially beneficial, and economically viable, and utilize native species wherever feasible.

P.9.7.2 | The project applying Land Use & Forest Activity requirements shall also comply with additional safeguarding requirements, as applicable.

³⁵ The term 'fertiliser' refers to a chemical or natural substance or material that is used to provide nutrients to plants, usually via application to the soil, but also to foliage or through water in rice systems, fertigation or hydroponics or aquaculture operations. Thus, multiple nutrient types and sources are considered herein include: chemical and mineral fertilizers; organic fertilizers such as livestock manures and composts; and sources of recycled nutrients such as wastewater, sewage sludge, digestates and other processed wastes.

³⁶ Refer to The stakeholders directly or indirectly involved with fertilizers

P.9.8 | Food Security

The Gold Standard Certification requires that

P.9.8.1 | The Project activity shall not negatively influence access to and availability of food for people affected.

P.9.9 | Animal Welfare

The Gold Standard Certification requires that:

P.9.9.1 | The welfare of animals shall be ensured by:

- a. Provision of sufficient access to drinking water and adequate food, AND
- b. Access to daylight, AND
- c. Providing appropriate environment including shelter and a comfortable resting area, AND
- d. Providing a humane treatment during handling and slaughter or killing
- e. No hindrance in their sensory perception and performing their basic needs, AND
- e.f. The prohibition of cattle trainers, AND
- g. Management policies and staff training to prevent mistreatment (evidence of animal mistreatment shall be treated as an immediate non-conformity).

P.9.9.2 | Excessive or inadequate use of veterinary medicines shall be avoided. Thus, all medications shall be:

- a. Administered strictly according to label and package instructions, OR
- b. According to a trained veterinarian.

P.9.9.3 | Injured or sick animals shall be treated and isolated, if necessary, for recovery. Control measures shall be put in place to ensure the transfer of disease (especially of zoonotic nature) is minimised.

P.9.9.4 | Synthetic growth promoters including hormones shall not be administered.

P.9.9.5 | Animals shall be handled using low-stress methods, equipment, and facilities that facilitate calm animal movement.

P.9.9.6 | Animals shall be exposed to the least stress possible during transportation and slaughtering.

P.9.9.7 | Appropriate space per animal and stocking rates per land unit should be set according to their developmental and physical needs.

P.9.9.8 | The project that involves aquatic animals, special attention shall be paid to their specific needs in addition to above specifically regarding:

- a. Flow, quantity, and quality of water supply.
- b. Quantities of feed and required nutritional composition for the farmed species and for their physiological state, especially the stage of growth.
- c. Adequate oxygen supply
- d. Required temperature

P.9.9.9 | Project activity that involves primary production³⁷ of living natural resources e.g., animal husbandry, aquaculture and fisheries shall implement sustainable management practices³⁸ through the application of industry-specific good management practices and available technologies. The project shall

- a. Where primary production practices are codified in globally, regionally, or nationally recognized standards, the project shall implement sustainable management practices to one or more relevant and credible standards^{39 40} as demonstrated by independent verification or certification.

³⁷ Primary production is defined for the purpose of requirement as being the cultivation of animals for human or animal consumption and use, both in the wild or in a cultivated situation. It includes animal husbandry, including livestock; and wild and capture fisheries including all types of marine and freshwater organisms, both vertebrate and invertebrate.

³⁸ Sustainable management practices means that the resources are managed in a sustainable manner i.e., that animal husbandry and aquacultural practices do not degrade the surrounding environment. Sustainable management also ensures that people who are dependent on these resources are properly consulted, enabled to participate in development, and share equitably in the benefits of that development.

³⁹ Credible globally, regionally, or nationally recognized standards for sustainable management of living natural resources are those which

- are objective and **achievable**.
- are founded on a multi-stakeholder consultative **process**.
- encourage **stepwise** and continual improvements; and
- provide for independent verification or certification through appropriate accredited bodies for such standards.

Gold Standard does not endorse any particular standard as meeting these requirements, since standards can change in both content and application on the ground over time. Standards are considered for application on a case-by-case basis, making a determination of whether the standard and its external verification or certification system are generally consistent with the above requirements. In general, standards that conform to the ISEAL Code of Good Practice for Setting Social and Environmental Standards will be consistent with the above requirements. With regards to eligibility of a given standard to ensure compliance with above requirements, the project developer may confirm with Gold Standard.

⁴⁰ IFC's EHS Guidelines and Good Practice Notes, for example *Good Practice Note: Improving Animal Welfare in Livestock Operations* and related publications are a useful initial source of

- b. Where relevant and credible standard(s) exist, but the project has not yet obtained independent verification or certification to such standard(s) ⁴¹, the project developer shall engage an Expert Stakeholder to conduct a pre-assessment or gap analysis of its conformity to the applicable standard(s) and prepare an action plan with an appropriate timeline to achieve such verification or certification. The project developer shall submit the gap analysis with action plan before project submission for design review and achieve certification before the project submission for the first performance review under GS4GG.
- c. In the absence of a relevant and credible global, regional, or national standard for the particular living natural resource in the country concerned, the project shall follow good international industry operating principles, management practices, and technologies

P.9.9.5 | P.9.9.10 | The animal welfare standards are based firmly on scientific knowledge and practical experience and the compliance with paras above in the same section (P9.9), above may require changes to husbandry practices. The project developer shall take into account the animal welfare-related cultural practices of certain individuals and groups. ⁴²

P.9.10 | High Conservation Value⁴³ Areas and Critical Habitats

The **GS4GG** Certification requires that

references for project developers. Such industry-specific guidance is very dynamic and new materials are being published regularly. A diligent internet search shall reveal a range of useful and up-to-date sources.

⁴¹ A credible certification system would be one which is independent, cost-effective, based on objective and measurable performance standards and developed through consultation with relevant stakeholders, such as local people and communities, indigenous peoples, and civil society organizations representing consumer, producer, and conservation interests. Such a system has fair, transparent and independent decision-making procedures that avoid conflict of interest.

⁴² Such practices should be accommodated during the implementation of animal welfare standards and balanced with a realistic assessment of market requirements and social expectations. Changes to husbandry practices need to consider local communities' knowledge, experience, and beliefs, as well as the demands of the international food supply chain.

⁴³ An HCV is a biological, ecological, social, or cultural value of outstanding significance or critical importance. High Conservation Value areas are critical areas in a landscape which need to be appropriately

P.9.10.1 | No Project that potentially impacts identified habitats⁴⁴ as HCV areas and or Critical habitats shall be implemented unless all of the following are demonstrated:

- a. The risk of the Project negatively impacting the catchment and risks impacting project success shall be assessed and addressed to ensure its ongoing, long-term viability and impact on surrounding HCV and ecological assets.
- b. No measurable adverse impacts on the criteria or biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values.
- c. A robust, appropriately designed, and long-term Habitats and Biodiversity Action Plan is in place to achieve net gains of those biodiversity values for which the critical habitat was designated.

P.9.10.2 | Within the Project, the area that is managed by the Project Developer and the area of impact downstream, the following shall be identified and protected/enhanced. In the case of downstream impacts, the Project shall ensure mitigation is in place within the Project Boundary such that the Project shall not adversely affect these areas:

- a. Existing patches of native tree species, AND
- b. Single solitary stems of native tree species, AND
- c. All freshwater resources including rivers, lakes, swamps, ephemeral water bodies and wells, AND
- d. Habitats of rare, threatened, and endangered species, AND
- e. Areas relevant for habitat connectivity shall be identified and managed to protect or enhance biological diversity.

P.9.10.3 | If the Project is located in such habitats; the Project Developer shall:

- a. Minimise unwarranted conversion or degradation of the habitat.
- b. Identify opportunities to enhance the habitat as part of the Project.

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.

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.

⁴⁴ Habitat is defined as a terrestrial, freshwater, or marine geographical unit or airway that supports assemblages of living organisms and their interactions with the non-living environment.

P.9.10.4 | For Activities applying the Land Use & Forest Activity Requirements Projects, a minimum 10% of the Project area shall be identified and managed to protect or enhance the biological diversity of native ecosystems following HCV approach⁴⁵. This area -

a. shall be located within the project region and managed by the Project Developer.

a-b. may also include the areas of the requirement (for example, buffer zones for water bodies in the case of Land Use & Forests).

P.9.10.4 | P.9.10.5 | The opinions and recommendations of an Expert Stakeholder shall be sought and demonstrated as being included in the Project design. The project can use mapping tools such as LEFT, IUCN Red List, IBAT or other appropriate nationally recognised tools may be used or visual inspection. The recommended methods include online tools, visual inspection, engineering, or physical assessment, use historical data and verbal or written surveys with local residents.

P.9.11 | Endangered Species

The GS4GG Certification requires that

P.9.11.1 | Under no circumstances shall the Project lead to the reduction or negative impact of any recognised Endangered, Vulnerable or Critically Endangered species⁴⁶.

⁴⁵ 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.

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.

⁴⁶ All endangered and critically endangered species as defined by the IUCN Red List; <https://www.iucnredlist.org/>

The determination of critical habitat based on other listings is as follows:

If the species is listed nationally / regionally as critically endangered or endangered, in countries that have adhered to IUCN guidance, the critical habitat determination will be made on a **project-by-project** basis in consultation with competent professionals; and in instances where nationally or regionally listed species' categorizations do not correspond well to those of the IUCN (e.g., some countries more generally list species as "protected" or "restricted"), an assessment will be conducted to determine the rationale and purpose of the listing. In this case, the critical habitat determination will be based on such an assessment.

P.9.11.2 | Habitats of endangered species shall be specifically identified and managed to protect or enhance them.

P.9.11.3 | The opinions and recommendations of an Expert Stakeholder shall be sought and demonstrated as being considered and incorporated into the project design.

P.9.12 | Invasive Alien species⁴⁷

The Gold Standard Certification requires that

P.9.12.1 | The project under no circumstances shall introduce any alien species (not currently established in the country or region of the project) into new environments. Notwithstanding the above, the project shall not deliberately introduce any alien species with a high risk of invasive behaviour regardless of whether such introductions are permitted under the existing regulatory framework. The project shall implement measures to avoid the potential for accidental or unintended introductions including the transportation of substrates and vectors (such as soil, ballast, and plant materials) that may harbour alien species.

P.9.12.2 | Where alien species are already established in the country or region of the proposed project, the project developer shall exercise diligence in not spreading them into areas in which they have not already been established. As practicable, the project developer should take measures to eradicate such species from the natural habitats over which they have management control.

⁴⁷ Invasive alien species are nonnative species that may become invasive or spread rapidly by outcompeting other native plants and animals when they are introduced into a new habitat that lacks controlling factors as determined by natural evolution. Invasive alien species are recognized to be a major global threat to biodiversity and ecosystem services.

CORE DOCUMENT

Annex 1: Safeguarding principles assessment questions

Seeking feedback from stakeholder for the type of approach to be designed for this. Checklist based or customised questions etc.

The Project shall provide responses to assessment questions, including justifications for responses following the below guidance:

Response	Meaning	Guidance
"Yes"	Meaning that the risk or expected issue identified in the assessment question is relevant to the project and context <u>taking into account the scope and scale of the project.</u>	The requirements apply and adherence shall be demonstrated. All information must be included in the Monitoring & Reporting Plan and future Monitoring Reports.
"Potentially"	Meaning that the risk or expected issue may be relevant at some point in the Project's cycle but is not necessarily relevant now and/or may never arise.	The Requirements apply but the Project Developer may justify <u>with evidence</u> why these Requirements do not need to be demonstrated as being met. <u>The project developer shall update information on any assessment questions answered 'Potentially' for each monitoring report.</u>
No	Meaning that the risk or expected issue is not relevant to the Project.	Justification shall be provided to support this conclusion, with evidence provided where required.

The Safeguarding Principles Assessment shall include a description with justifications on how a project met Or will meet (i.e. monitor if needed) these Requirements.

The Requirements shall guide mitigation proposal where a risk is identified, i.e., the mitigation proposal to address identified risk shall be designed with the intention of achieving the stated Requirements.

The scope of each Requirement (for example, its application during implementation or to upstream or downstream issues) is defined within the relevant section

SOCIAL SAFEGUARDING PRINCIPLES**Principle 1 – Human Rights***

	<u>Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	<u>Is there a risk that rights-holders (e.g. Project-affected stakeholders) do not have the capacity to claim their rights?</u>	<input type="checkbox"/> YES <input type="checkbox"/> NO

If answers to the questions above is yes, please provide further detail in the space below

Would the project potentially involve or lead to:

	<u>adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

Briefly describe in the space below how the project mainstreams the human rights-based approach?

For example, by describing how the project design:

- is informed by human rights analysis, including from UN human rights mechanisms (human rights treaty bodies, universal periodic review, special procedures)
- includes measures to assist the government to realise (respect, protect and fulfil) human rights under international law and to implement human rights-related standards in national law (whichever is higher)
- enhances the availability, accessibility and quality of benefits and services for potentially marginalized individuals and groups, and to increase their inclusion in decision-making processes that may impact them (consistent with the non-discrimination and equality human rights principle)
- Provides reasonable accommodations to strengthen inclusivity and accessibility of project benefits and services to persons with disabilities.

Principle 2 – Gender Equality and Women's Empowerment*

	<u>Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> NO
	<u>Q from PDD template</u>	
	<u>Q from PDD template</u>	

Would the project potentially involve or lead to:

	<u>adverse impacts on gender equality and/or the situation of women and girls?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?</u> <u>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.</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>exacerbation of risks of 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.</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

Principle 3 – Community Health and Safety

Would the project potentially involve or lead to:

	<u>construction and/or infrastructure development (e.g. roads, buildings, dams)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

Principle 4 Cultural Heritage, Indigenous People, Displacement and Resettlement

Principle 4.1 Sites of cultural and historical heritage

Would the project potentially involve or lead to:

	<u>activities adjacent to or within a cultural heritage site?</u>	<input type="checkbox"/> YES
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		<input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>significant excavations, demolitions, movement of earth, flooding or other environmental changes?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>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: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>alterations to landscapes and natural features with cultural significance?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
<u>If answer to question above is "YES" or "POTENTIALLY" - are the communities made aware of their right under the law, scope and nature of proposed development and its potential consequences?</u>		<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>If answer to question above is "YES" - does the project provide equitable sharing of benefits from commercialisation of such knowledge, innovation, or practice, consistent with their customs and traditions?</u>		<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>Are opinions and recommendations of an Expert Stakeholder(s) sought and demonstrated as being included in the project design?</u>		<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>If answer to question above is "YES", have project design been changed, modified, updated considering opinions and recommendations of an Expert Stakeholder?</u>		<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
Principle 4.2 Forced Eviction and Displacement		
<u>Would the project potentially involve or lead to:</u>		
	<u>risk of forced evictions or involuntary relocation of people?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
<u>If answer to question above is "YES" or "POTENTIALLY",</u> - <u>has the project developed Resettlement Action Plan or Livelihood Action Plan in consultation and agreement with affected individual, group or community?</u>		<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO

- <u>has the project integrated Resettlement Action Plan or Livelihood Action Plan into the Project design?</u>	
<u>Are opinions and recommendations of an Expert Stakeholder(s) sought and demonstrated as being included in the project design?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>If answer to question above is "YES", have project design been changed, modified, updated considering opinions and recommendations of an Expert Stakeholder?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO

JUSTIFICATIONS:**Principle 4.3 Land Tenure and Other Rights****Would the project potentially involve or lead to:**

<u>impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
<u>uncertainties with regards to land tenure, access rights, usage rights or land ownership?</u> <u>Examples include, but are not limited to water access rights, community-based property rights and customary rights.</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
<u>changes in legal arrangements, if yes,</u> - <u>are the changes done in line with relevant laws and regulations?</u> - <u>are these changes agree with free, prior and informed consent of the involved stakeholders?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>Does the Project Developer hold uncontested land title for the entire Project Boundary?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>Are opinions and recommendations of an Expert Stakeholder(s) sought and demonstrated as being included in the project design?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>If answer to question above is "YES", have project design been changed, modified, updated considering opinions and recommendations of an Expert Stakeholder?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
<u>Have project developer in consultation with stakeholders established a functioning mechanism to receive, process, resolve, communicate and record grievances?</u>	<input type="checkbox"/> YES <input type="checkbox"/> NO

JUSTIFICATIONS:**Principle 4.4 Indigenous Peoples****Would the project potentially involve or lead to:**

<u>areas where indigenous peoples are present (including project area of influence)</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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	<u>areas, land and territory claimed by indigenous peoples?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<p>If answer to above questions is "YES" or "POTENTIALLY",</p> <ul style="list-style-type: none"> - <u>has project carried out an environmental and social analysis of the activities that may affect or involve Indigenous Peoples?</u> - <u>does the assessment include the potential impacts on their rights, lands, territories, gender relations and resources.</u> <p><i>If it is determined that the proposed project may affect the rights, lands, resources, or territories of indigenous people, an "Indigenous People Plan" (IPP) or "Indigenous People Plan Framework" shall be elaborated and included in the project documentation. This plan shall be developed in accordance with the effective and meaningful participation of indigenous peoples and in accordance with UNDP Guidelines.</i></p>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
	<u>forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<p><u>utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?</u></p> <p><u>Consider, and where appropriate ensure, consistency with the answers under Principle 4.1 above</u></p>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<p><u>If answer to question above is "YES" or "POTENTIALLY" - equitable sharing of benefits for the indigenous people which is derived from utilisation and/or commercial development of natural resources on lands and territories or use of their traditional knowledge and practices by the Project?</u></p> <p><u>Consider, and where appropriate ensure, consistency with the answers under Principle 4.1 above</u></p>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
	<u>If answer to question above is "YES" - conduct culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
	<u>Are opinions and recommendations of an Expert Stakeholder(s) sought and demonstrated as being included in the project design?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
	<u>If answer to question above is "YES", have project design been changed, modified, updated considering opinions and recommendations of an Expert Stakeholder?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO
	<p><u>Have project established channels for feedback and grievance redress to Indigenous Peoples and their representatives?</u></p> <p><i>The grievance mechanism shall be established at the beginning of programme or project implementation with due consideration given to</i></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO

customary dispute settlement mechanisms among the Indigenous Peoples concerned and remain operational throughout the project cycle. A conflict resolution mechanism should be also discussed, agreed and developed during the early stages of the programme or project cycle.

JUSTIFICATIONS:

Principle 5 CORRUPTION

Would the project involve or lead to:

	<u>be complicit in or inadvertently contribute to or reinforce corruption or corrupt Projects?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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JUSTIFICATIONS:

ECONOMIC SAFEGUARDING PRINCIPLES

PRINCIPLE 6 ECONOMIC IMPACTS

PRINCIPLE 6.1 LABOUR RIGHTS AND WORKING CONDITIONS

Would the project involve or lead to: (NOTE: APPLIES TO PROJECT AND CONTRACTOR WORKERS)

	<u>use of forced labour?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>working conditions that do not meet national labour laws and international commitments?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>working conditions that may deny freedom of association and collective bargaining?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>use of migrant workers?</u> <u>if engaged, the developer shall ensure that they are engaged substantially equivalent terms and conditions to non-migrant workers carrying out similar work.</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>making arrangements for basic services⁴⁸ for workers?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY

⁴⁸ Basic services requirements refer to minimum space, supply of water, adequate sewage and garbage disposal system, appropriate protection against heat, cold, damp, noise, fire, and disease-carrying animals, adequate sanitary and washing facilities, ventilation, cooking and storage facilities and natural and artificial lighting, and in some cases basic medical services.

	<i>If yes, the project developer shall put in place and implement policies on the quality and management of the accommodation and provision of basic services in a manner consistent with the principles of non-discrimination and equal opportunity. Workers' accommodation arrangements should not restrict workers' freedom of movement or of association</i>	<input type="checkbox"/> NO
	<u>discriminatory working conditions and/or lack of equal opportunity?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>discriminatory working conditions and/or lack of equal opportunity where national law provides provision to address non-discrimination in employment?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>use of child labour? (including third-party engaged workers)</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>absence of adequate and verifiable mechanisms for age verification in recruitment procedures?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>Have project established channels for feedback and grievance redressal for workers to raise workplace concerns of violations of existing rights and entitlements as provided for in legislation, collective agreements, employment contracts and human resources policies?</u>	<input type="checkbox"/> YES <input type="checkbox"/> NO

Justifications:

Principle 6.2 NEGATIVE ECONOMIC CONSEQUENCES**Would the project involve or lead to:**

	<u>economic impacts (negative) to the local economy?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>negative economic consequences during and after project implementation, e.g., for vulnerable and marginalized social groups in targeted communities?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

Justifications:

PRINCIPLE 7 CLIMATE AND ENERGY**PRINCIPLE 7.1 EMISSIONS****Would the project involve or lead to:**

	<u>increase greenhouse gas emissions over the Baseline Scenario?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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Justifications:

PRINCIPLE 7.2 ENERGY SUPPLY**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>affect the availability and reliability of energy supply to other users?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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JUSTIFICATIONS:**PRINCIPLE 8 WATER****PRINCIPLE 8.1 IMPACT ON NATURAL WATER PATTERNS/FLOWS****WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>affect the natural or pre-existing pattern of watercourses, groundwater and/or the watershed(s) such as high seasonal flow variability, flooding potential, lack of aquatic connectivity or water scarcity?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>Are opinions and recommendations of an Expert Stakeholder(s) sought and demonstrated as being included in the project design?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO

JUSTIFICATIONS:**Principle 8.2 Erosion and/or Water Body Instability****WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>negatively impact on the catchment area?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>directly or indirectly cause erosion and/or water body instability or disrupt the natural pattern of erosion?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

JUSTIFICATIONS:**Principle 9 Environment, ecology and land use****Principle 9.1 Landscape Modification and Soil****WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>adverse impacts on soils, their biodiversity, organic content, productivity, structure, and water-retention capacity?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY

		<input type="checkbox"/> NO
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JUSTIFICATIONS:

Principle 9.2 Vulnerability to Natural Disaster**WOULD THE PROJECT INVOLVE OR LEAD TO:**

Principle 9.3 Biosafety and Genetic Resources**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	handling or utilization of genetically modified organisms/living modified organisms?	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
If answer to above questions is "yes" has a risk assessment by a competent Expert stakeholder been carried out in accordance with Annex III of the Cartagena Protocol on Biosafety to the Convention on Biological Diversity?		<input type="checkbox"/> YES <input type="checkbox"/> NO

JUSTIFICATIONS:

Principle 9.4 Release of pollutants**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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JUSTIFICATIONS:

Principle 9.5 Hazardous and Non-hazardous Waste**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	the generation of waste (both hazardous and non-hazardous)?	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	release of hazardous waste materials?	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	the use of chemicals or materials subject to international bans or phase-outs? For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

JUSTIFICATIONS:

Principle 9.6 Pesticides & Fertilisers**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>the application of pesticides that may have a negative effect on the environment or human health?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>Purchase, store, use, manufacture, or trade in Class II (moderately hazardous) pesticides ?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

JUSTIFICATIONS:

Principle 9.7 Harvesting of Forests**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>harvesting of natural forests, plantation development, or reforestation?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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JUSTIFICATIONS:

Principle 9.8 Food Security**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>adverse impact to access to and availability of food for people affected</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>project modify the quantity or nutritional quality of food available such as through crop regime alteration or export or economic incentives</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

JUSTIFICATIONS:

Principle 9.9 Animal Welfare**WOULD THE PROJECT INVOLVE OR LEAD TO:**

	<u>involve animal husbandry or harvesting of fish populations or other aquatic species?⁴⁹</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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⁴⁹ 'Involve' means if the project mechanism and/or impact(s) are achieved via changing animal husbandry practices in some way.

	<u>limiting access for animals to basic needs like drinking water, adequate food, daylight, appropriate shelter etc.?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>use of synthetic growth promoters including hormones?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>Adverse treatment of aquatic species?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO

JUSTIFICATIONS:

Principle 9.10 High Conservation Value Areas and Critical Habitats

WOULD THE PROJECT INVOLVE OR LEAD TO:

	<u>adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>Are opinions and recommendations of an Expert Stakeholder(s) sought and demonstrated as being included in the project design?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO

JUSTIFICATIONS:

Principle 9.11 Endangered Species

WOULD THE PROJECT INVOLVE OR LEAD TO:

	<u>risks to endangered species (e.g. reduction, encroachment on habitat)?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>impact other areas where endangered species may be present through transboundary affects?</u>	<input type="checkbox"/> YES <input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
	<u>Are opinions and recommendations of an Expert Stakeholder(s) sought and demonstrated as being included in the project design?</u>	<input type="checkbox"/> NA <input type="checkbox"/> YES <input type="checkbox"/> NO

JUSTIFICATIONS:

Principle 9.12 Invasive Alien species

WOULD THE PROJECT INVOLVE OR LEAD TO:

	<u>introduction of invasive alien species?</u>	<input type="checkbox"/> YES
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		<input type="checkbox"/> POTENTIALLY <input type="checkbox"/> NO
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JUSTIFICATIONS:

DOCUMENT HISTORY

Version	Date	Description
2.0	Mm/dd/yyyy	Iciwbic
1.0	Mm/dd/yyyy	Initial adoption

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Requirements V2.0_public consultation.docx
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/Data/Documents
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Subject:
Author: AGu
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