**Environmental and Social Safeguards Assessment Form**

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| **Instructions:** To be completed by the Project Owner for each reporting period in order to qualitatively evaluate the project’s compliance with social and environmental safeguards, to provide transparency regarding project impacts, and to ensure measures are implemented where necessary to mitigate social and environmental impacts. When conducting the assessment, the Project Owner should consider the impacts as limited to the project’s scope and boundary. Please complete all fields as thoroughly as possible. In cases where the criteria are required as part of protocol specific documentation reference (e.g., Refer to Section 3 of the Project Report) can be made to the information instead of a full response. This is an interactive Word form. Upon completion, please save this form as a PDF prior to uploading it to the Reserve. **Upon credit issuance, this form will become public.** |
| 1. **Project Owner** (Account Holder name as it appears in the Reserve software)**:**
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| 1. **Project Name** (as it appears in the Reserve software)**:**
 |  |
| 1. **Project ID #:**
 | **CAR** |
| 1. **Project Location**
 |  |
| 1. **Protocol:**
 |  |
| 1. **Project Type:**
 |  |
| 1. **Form Completed By** (name, organization)**:**
 |  |
| 1. **Current Verification Period** (MM/DD/YYYY- MM/DD/YYYY)**:**
 |       to        |
| 1. **Number of Credits**
 |  |
| 1. **Has this assessment changed since the previous reporting period?**
 | [ ]  **Yes** [ ]  No |
| * 1. If yes, please indicate which sections have change:
 |  |
| [ ]  Stakeholders[ ]  Labor & Working Conditions[ ]  Gender Equality[ ]  Resource Efficiency and Pollution Prevention | [ ]  Biodiversity Conservation and Sustainable Management of Living Natural Resources[ ]  Human Rights and Stakeholder Engagement | [ ]  Indigenous Peoples, Local Communities and Cultural Heritage [ ]  Land Acquisition and Involuntary Resettlement | [ ]  Robust Benefit-Sharing[ ]  Other Additional Impacts |

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| **Stakeholders** |
| 1. Provide a description of all stakeholders that may be impacted by the project:
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| **Labor & Working Condition** |
| 1. What impact does the project have on safe and healthy working conditions for employees?
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated.:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements in place that provides for safe and healthy working conditions for employees?** [ ]  **Yes** [ ]  No
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. What impact does the project have on the fair treatment of all employees, avoiding discrimination, and ensuring equal opportunities?
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements in place** the fair treatment of all employees, avoiding discrimination, and ensuring equal opportunities**?** [ ]  **Yes** [ ]  No
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. What impact does the project have on forced labor, child labor, or trafficked person, and protects contracted workers employed by third parties?
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements to prohibit** forced labor, child labor, or trafficked person, and protects contracted workers employed by third parties**?** [ ]  **Yes** [ ]  No
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| **Gender Equality** |
| 1. What impact does the project have on equal opportunities in the context of gender?
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements in place that provides for equal opportunities in the context of gender?** [ ]  **Yes** [ ]  No
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. What impact does the project have on the protection against and appropriate responses to violence against women and girls?
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements in place** to protect against and appropriately respond to violence against women and girls**?** [ ]  **Yes** [ ]  No [ ]  Not Applicable
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. What impact does the project have on equal pay for equal work?
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements related to equal pay for equal work?** [ ]  **Yes** [ ]  No [ ]  Not Applicable
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| **Resource Efficiency and Pollution Prevention** |
| 1. During the reporting period did the project activity result in non-GHG pollutant emissions to air?
	1. If yes, please describe and explain the outcome:
 | [ ]  **Yes** [ ]  No |
| * 1. What overall impact does the project have on pollutant emissions to air?
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. During the reporting period did the project activity result in pollutant discharges to water, noise, and vibration?
	1. If yes, please describe and explain the outcome:
 | [ ]  **Yes** [ ]  No |
| * 1. What overall impact does the project have on pollutant discharges to water, noise and vibration?
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. During the reporting period did the project result in the generation of waste, and release of hazardous materials, chemical pesticides, and fertilizers?
	1. If yes, please describe and explain the outcome:
	2. What overall impact does the project have on the generation of waste, and release of hazardous materials, chemical pesticides, and fertilizers?
	3. **If negative, please describe how these impacts will be addressed and mitigated:**
	4. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Yes** [ ]  No[ ]  **Positive** [ ]  Negative [ ]  No Impact |
| **Biodiversity Conservation and Sustainable Management of Living Natural Resources** |
| 1. What overall impact does the project have on terrestrial and marine biodiversity and ecosystems?
	1. **If negative, please describe how these impacts will be addressed and mitigated (or if mitigation is not feasible, explain why and describe how these impacts will be minimized):**
	2. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. What impact does the project have on rare, threatened, and endangered species, including areas needed for habitat connectivity?
	1. **If negative, please describe how these impacts will be addressed and mitigated:**
	2. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. Confirm the project does not convert natural forests, grasslands, wetlands, or high conservation value habitats.[[1]](#footnote-2)
	1. Describe how the project meets the requirements:
 | [ ]  **Yes** [ ]  No [ ]  Not Applicable |
| 1. What impact **does the project have on soil degradation and erosion?**
	1. **If negative, please describe how these impacts will be addressed and mitigated/minimized:**
	2. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. What impact **does the project have on water consumption and stress?**
	1. **If negative, please describe how these impacts will be addressed and mitigated:**
	2. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| **Human Rights and Stakeholder Engagement** |
| 1. What impact does the project have on human rights?
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements in place to avoid discrimination and respect human rights?** [ ]  **Yes** [ ]  No
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. Does the project have impacts on abiding to the International Bill of Human Rights[[2]](#footnote-3) and universal instruments ratified by the project location host country?
	1. Provide a justification for response:
	2. **If no, please describe how these will be addressed and mitigated:**
	3. **Please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
	4. **Does the project have explicit requirements in place to** abide by the International Bill of Human Rights and universal instruments ratified by the project location host country**?** [ ]  **Yes** [ ]  No
		1. If yes, please describe:
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| 1. Describe how the Project Owner takes into account and responds to stakeholder views. Specify how feedback is received, addressed, and documented. Include a description of the roles of individuals involved in this process.
 |  |
| 1. What impact does the project have on consideration and response to Local Stakeholder Views?
	1. Provide a justification for response:
	2. **If no, please describe how these will be addressed and mitigated:**
	3. **Please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative [ ]  No Impact |
| **Indigenous Peoples, Local Communities and Cultural Heritage** |
| Does your project involve Indigenous Peoples (IPs) and/or Local Communities (LCs)? [ ]  **Yes** [ ]  NoIf yes, complete questions #20 through #26 |
| 1. Describe how the project recognizes, respects and promotes the protection of the rights of Indigenous Peoples and Local Communities in line with applicable international human rights, law and the United Nations Declaration on the Rights of Indigenous Peoples and ILO Convention 169 on Indigenous and Tribal Peoples?

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| 1. Confirm that the stakeholder consultation process includes at least one local public meeting as part of project design and implementation in a manner that is inclusive, culturally appropriate, and respectful of local knowledge, take these consultations into account and respond to local stakeholders’ views.
 | [ ]  Yes [ ]  No |
| 1. Confirm the project identifies the rights-holders possibly affected by the mitigation activity (including customary rights of local rights holders)
 | [ ]  **Yes** [ ]  No  |
| 1. Does the project meet the protocol requirements for Free and Prior Informed Consent?
	1. If N/A, please explain:
 | [ ]  **Yes** [ ]  No [ ]  N/A (please explain) |
| 1. Confirm the project does not force eviction or any physical or economic displacement of IPs & LCs, including 1) through access restrictions to lands, territories, or resources, unless agreed upon with IPs & 2) LCs during the FPIC process
	1. Describe the steps to prevent forced eviction or physical or economic displacement:
 | [ ]  **Yes** [ ]  No |
| 1. Confirm the project preserves and protects cultural heritage consistent with IPs & LCs protocols/rules/plans on the management of cultural heritage or UNESCO Cultural Heritage conventions.
	1. Describe the steps to preserve and protect cultural heritage:
 | [ ]  **Yes** [ ]  No |
| **Land Acquisition and Involuntary Resettlement** |
| 1. Does the project result in forced physical and/or economic displacement?
	1. **If yes, please describe how these will be addressed and mitigated (or where mitigation is not feasible, how it will be minimized):**
	2. **Please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Yes** [ ]  No |
| **Robust Benefit-Sharing** |
| 1. Confirm the project meets the requirements for robust benefit-sharing as defined in the applicable protocol.
 | [ ]  **Yes** [ ]  No |
| 1. Can the benefit-sharing outcomes that result from the benefit sharing plan be made publicly available?
	1. Please explain:
 | [ ]  **Yes** [ ]  No |
| **Other Additional Impacts** |
| Disclose any additional environmental and social impacts that are not captured in the criteria above. |
| 1. Impact:
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative  |
| 1. Impact:
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative  |
| 1. Impact:
	1. Provide a justification for response:
	2. **If negative, please describe how these impacts will be addressed and mitigated:**
	3. **If negative, please describe how the mitigation measures described above will be monitored. Include the frequency, roles of involved individuals, and how record keeping occurs.**
 | [ ]  **Positive** [ ]  Negative  |

***End of form***

1. [↑](#footnote-ref-2)
2. *The International Bill of Human Rights* includes: the *Universal Declaration of Human Right*, available at <https://www.ohchr.org/en/universal-declaration-of-human-rights>, the *International Covenant on Economic, Social and Cultural Rights*, available at <https://www.ohchr.org/en/instruments-mechanisms/instruments/international-covenant-economic-social-and-cultural-rights>, and the *International Covenant on Civil and Political Rights*, available at <https://www.ohchr.org/en/instruments-mechanisms/instruments/international-covenant-civil-and-political-rights>. For a summary of the rights included, refer to <https://www.ohchr.org/en/universal-declaration-of-human-rights>. [↑](#footnote-ref-3)