



SHOPPING LINE COVER: QUESTIONS ON ENVIRONMENTAL, SOCIAL AND HUMAN RIGHTS ASPECTS

A project's environmental, social and human rights impacts play an important role when it comes to deciding whether export transactions are eligible for support within the scope of a buyer credit line. For this reason the projects are reviewed in accordance with the environmental and social guidelines of the OECD (Common Approaches) and those of the Federal Government. In the course of an initial screening all applications are examined for the potential environmental, social and human rights impacts of the respective project. Any projects that are covered by the Common Approaches are assigned to one of the Categories A, B or C. More detailed information on the assessment procedure can be found on the [AGA website](#).

Please note that in the context of the environmental, social and human rights assessment **project always denotes the project as a whole**, for which German supplies and services are intended. The assessment is site and project-related. This means that deliveries and services for one site or one project are assessed on the basis of their cumulative value and thus only one questionnaire per site has to be completed.

In the course of the application procedure, further questions regarding the project's impacts may arise. Above all, this questionnaire does not replace the information required for specific sectors (for that, please, see also the **sector-related checklists** at www.agaportal.de > Quick Links > Responsibility).

Individual delivery / service contracts and contract value

Number of the individual delivery / service contracts for the site / project	
Contract value (total value of all delivery / service contracts)	

Please note that it is necessary to reply to the questions below depending on the amount of the (cumulative) contract value.

Project type	Contract value / relevant questions		
	EUR < 5 million	EUR 5 up to < 15 million	EUR ≥ 15 million
New projects ¹	A.1, A.2, B.1	A.1 to B.4	All
Existing projects ²	A.1, A.2, B.1	A.1 to B.4	A.1 to B.4; C.2, C.3, C.7 to C.9
Reach-back	A.1, A.2, B.1	A.1 to B.4; C.7 and C.9	

¹ Newly developed sites or existing projects that undergo a significant increase of their capacity (> 50 %) and/or a material change of their function.

² Existing projects where the deliveries do not result in a significant capacity increase (< 50 %) and a material change of function.

Please also note that the declaration at the end of the questionnaire must be signed irrespective of the amount of the contract value.

A. Project description

1. Project name:

2. Please describe the **scope** of the German **supplies and services**:

3. Please provide information on the **project**:

- Project background (purpose and subject)
- Components which are physically and technical linked with the project and are owned, operated or managed by the buyer and/or the project sponsor (incl. any subcontractors)
- Upstream and downstream production plants and processes
- Stand-alone plant or integration into a(n) (existing) large-scale plant
- New plant or replacement and/or modernisation
- Planned production capacity or increase of capacity in absolute figures
- Changes in the present environmental situation
- Timetable of the project
- Infrastructure (roads, pipelines, energy supply) which is to be built in connection with the project

4. Please describe the key **processes** at the site and include details regarding the following aspects:
Wastewater, air emissions and ambient air quality, ambient noise, raw materials and waste, hazardous substances, social aspects

5. Please describe your **role and responsibilities** in the project (sole or joint supplier, share in the project, etc.):

6. Please provide information on **necessary associated facilities** (those facilities that are not a component of the project but that would not be constructed or expanded if the project did not exist and on whose existence the viability of the project depends, e. g. terminals, harbours, quarries, plantations, etc. Such facilities may be funded, owned, managed, constructed and operated either by the buyer and/or project sponsor or by an independent third party):

7. Which other **export credit agencies or international financial institutions** are involved in the German supplies or the project?

B. Site description

1. Please provide the **GPS coordinates** for the project location:

2. Please describe the whole **site** and the existing/planned **associated facilities**:

- Size and land requirements
- Original and current use as well as ownership
- Industrial estate (since when) or new development

3. Please describe the site's **surroundings** (please attach a detailed map and/or a site map):

- Use of adjacent land
- Distance to the nearest residential area

Please enclose a detailed map or a site plan.

4. Is the site located in or near a **sensitive area**?

☐ Yes ☐ No ☐ Not known

(Definition: Sensitive areas include National Parks and other protected areas protected by national or international law and other sensitive locations of international, national or regional importance such as wetlands, forests with high biodiversity value, areas of archaeological or cultural significations and areas of importance for indigenous peoples and other vulnerable groups.)

If this is the case, please provide additional information (type of area, distance to the site, protection category, protective role, protective measures, etc.):

C. Environmental, social and human rights aspects

Note: If the exports are part of a project, a description of the relevant aspects of the project is required in addition to the direct aspects of the German supplies and services.

1. Which of the following **documents** will be/have been prepared and are available for the project

	Yes	No	Planned
Environmental Impacts Assessment (EIA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental and Social Impact Assessment (ESIA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Rights Due Diligences (HRDD)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental and Social Management Plan (ESMP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Resettlement Action Plan (RAP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other studies/documents and if so what?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Which **standards** are met?
- | | German
supplies | / | project |
|---|--------------------------|---|--------------------------|
| ▪ World Bank Safeguard Policies | <input type="checkbox"/> | | <input type="checkbox"/> |
| ▪ World Bank Environmental and Social Standards | <input type="checkbox"/> | | <input type="checkbox"/> |
| ▪ IFC Performance Standards | <input type="checkbox"/> | | <input type="checkbox"/> |
| ▪ Local standards | <input type="checkbox"/> | | <input type="checkbox"/> |
| ▪ German standards | <input type="checkbox"/> | | <input type="checkbox"/> |
| ▪ EU standards | <input type="checkbox"/> | | <input type="checkbox"/> |
| ▪ General and sector-related standards of the World Bank Group (EHS Guidelines) | <input type="checkbox"/> | | <input type="checkbox"/> |
| ▪ Other standards (industry best practice, etc.) | <input type="checkbox"/> | | <input type="checkbox"/> |
- Please describe them:
-

3. Have all **official permits** (relating to the environment, occupational health and safety, operation, etc.) been obtained?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

If not, please explain why not or when they are expected to be available:

4. Is the implementation of a certified **environmental, occupational health and safety and/or social management system** planned for the site or has it already been implemented?

	Yes	No	Planned
▪ ISO 14001	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ OHSAS 18001	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ ISO 45001	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ SA8000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Others: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Please describe specific **positive aspects** of the project and of the German supplies and services (e. g. greenhouse gas savings, improvement in energy efficiency, etc.)
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6. Have the **affected communities** been **involved** as the project has been developed or is involvement of affected communities planned?

	Yes	No
Informed	<input type="checkbox"/>	<input type="checkbox"/>
Consulted	<input type="checkbox"/>	<input type="checkbox"/>

If so, please provide detailed information on the process:

7. Do the German supplies or the project involve:

	Yes	No
▪ Resettlements ¹ ?	<input type="checkbox"/>	<input type="checkbox"/>
▪ Expropriation of land ?	<input type="checkbox"/>	<input type="checkbox"/>
▪ impacts on minorities or indigenous people ² ?	<input type="checkbox"/>	<input type="checkbox"/>

If so, please give details on these impacts (number of persons affected, mitigation measures, etc.):

8. Does the buyer offer employees, local residents and other stakeholders possibilities (e. g. telephone hotline, e-mail address, post office box, or ombudspersons) to anonymously make **complaints in connection with the project**?

☐ Yes ☐ No ☐ Not known

If so, please describe what possibilities are available and how complaints are dealt with?

9. Are you aware of any **objections/concerns** raised by the following groups?

	Yes	No
Population	<input type="checkbox"/>	<input type="checkbox"/>
NGOs	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>

If so, what groups?

10. Please provide the **yearly greenhouse gas (GHG) emissions**³ that are associated with the project as well as the project's **annual energy consumption**. GHG emissions should be calculated according to internationally recognized methods⁴.

- Direct GHG emissions (Scope 1) in tons of CO₂-equivalent:
- Indirect energy-related emissions (Scope 2) in tons of CO₂-equivalent:
- The project's energy consumption in MWh:
- Total greenhouse gas emissions (Scope 1 & 2) in tons of CO₂-equivalent:
- The project's production capacity in tons:
- GHG intensity ratio $\left(\frac{\text{Scope 1 \& 2 GHG-emissions in tons CO}_2\text{-equivalent}}{\text{Production output in tons}} \right)$

Comments:

¹Resettlements include both physical resettlements and economic resettlements (loss of property or the access to property resulting in the loss of sources of income or other livelihoods).

²Indigenous peoples are considered to be distinct social and cultural groups which (a) regard themselves as members of such a distinct indigenous cultural group and are recognised as such by others, (b) show a collective attachment to their geographically distinct habitats or ancestral territories in the project area and to the natural resources thereof, (c) have customary cultural, economic, social or political institutions that are separate from those of the mainstream society or culture or (d) speak a distinct language or dialect, which often differs from the official language of the country or region.

³Relevant greenhouse gases are those that are referred to in the United Nations Framework Convention on Climate Change, namely: carbon dioxide (CO₂), methane (CH₄), nitrous oxide (N₂O), perfluorocarbons (PFCs), hydrofluorocarbons (HFCs), sulphur hexafluoride (SF₆) and nitrogen trifluoride (NF₃).

⁴The IFC Performance Standards Guidance Notes (pp. 93-96) offer some orientation with regard to quantification of GHG emissions (https://www.ifc.org/wps/wcm/connect/9fc3aaef-14c3-4489-acf1-a1c43d7f86ec/GN_English_2012_Full-Documents_updated_June-27-2019.pdf?MOD=AJPERES&CVID=mRQmrEJ). Detailed guidance for the calculation of emissions can be found in the Greenhouse Gas Protocol: <https://ghgprotocol.org/corporate-standard>.

11. Are measures (e. g. contractual agreement of sustainability standards, audits and trainings) taken to guarantee that fundamental environmental, social and human rights standards are respected by

- Important **contractors**?
- Companies of the project's **primary supply chain**?

Yes	No	Not known
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If so, please make more detailed information available.

D. Labour Standards and Occupational Safety

1. Have all important companies involved in the project committed to **complying with the national labour laws** in the buyer country and **respect of fundamental human rights**?

☐ Yes ☐ No ☐ Not known

(Respect for fundamental human rights includes in particular providing a safe and healthy working environment, granting freedom of association, respecting the right to collective bargaining, preventing discrimination, child and forced labour, promoting equal opportunities, granting time for recreation and leisure and paid holidays as well as appropriate pay.)

If so, please describe whether and how the compliance with these standards is controlled.

2. Is **accommodation** provided for the workers involved in the project?

☐ Yes ☐ No ☐ No known

If so, do you know whether the accommodation facilities are constructed and operated in accordance with the requirements of the IFC/EBRD Guidance Note "Workers' Accommodation: Processes and Standards?"

(The requirements of the Guidance Note aim at safeguarding the workers' health, safety and wellbeing during their accommodation.)

3. Please describe the **health & safety management structure** that is applicable to the project, provide an organigram, and include information on roles, duties, and team members' years of relevant experience.

4. Please indicate the **major health & safety risks applicable to the project** and describe the measures taken to mitigate these.

5. Please describe the processes in place to ensure that health & safety standards are implemented by **contractors and sub-contractors** and describe how adherence to these standards is monitored.

6. Are there any open or pending **health & safety-related complaints, proceedings, official orders or fines** in conjunction with this project?

7. Please describe the **worst health & safety incident** that has occurred within the last 3 years at this project or any project under the buyer's management.

We herewith declare that all information herein has been correctly provided to the best of our knowledge. We will inform you immediately of any changes or amendments.

Place and date

completed by (name, function)