



QUESTIONS ON ENVIRONMENTAL, SOCIAL AND HUMAN RIGHTS ASPECTS NOT RELATED TO A PARTICULAR SECTOR

A project's environmental, social and human rights impacts play an important role when it comes to deciding whether an export transaction is eligible for support. For this reason the projects are reviewed in accordance with the environmental and social guidelines of the OECD (Common Approaches). In the course of an initial screening all applications, which are covered by the Common Approaches, are assigned to one of the Categories A, B or C depending on the potential environmental, social and human rights impacts of the respective project. More detailed information on the assessment procedure can be found at [Exportkreditgarantien.de](https://www.exportkreditgarantien.de).

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 completion of this questionnaire is voluntary. However, we recommend replying to the questions below as completely and with as much detail as possible in order to speed up the assessment procedure. This may supplement or replace the description of the environmental, social and human rights impacts in the project memorandum.

In the course of the application procedure further questions regarding the project's impacts may arise. Above all, this questionnaire does not replace the sector-related information required for specific sectors (for that, please, see also the **sector-related checklists** at „www.exportkreditgarantien.de → Sustainability → Responsibility → Assessment of environmental, social and human rights issues (EHSR) → EHSR assessment“).

A. Project description

1. Project name:

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

3. Please describe the project. Please note that in the context of the environmental, social and human rights assessment project denotes the **project as a whole**, for which the German supplies and services listed under item 2. are intended. Any components to be built or expanded, which are physically and technically linked to the project and will be owned, operated or managed by the buyer and/or project sponsor (incl. any contractors), are deemed to be a part of the project.

- Project background (purpose and subject)
- 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
- 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



The following questions and any additional questionnaires, which may be required, refer to the **project as a whole**. The questions should always be answered in this context and not only in respect of the German supplies and services. If you have any questions regarding the definition and delimitation of the project, please do not hesitate to contact us at an early stage.

4. Please state the production capacity at the site below per year with reference to the product/products, the production of which is to be increased through the planned project.
- Existing production capacity prior to the project's realisation
 - _____
 - Total production capacity after the project's realisation
 - _____
5. Please describe the key **processes** at the site and include details regarding the following aspects: Wastewater, air emissions and ambient air quality, ambient noise, waste, hazardous substances, social aspects
- _____
- _____
- _____
6. Where are the key raw materials sourced from? Sourcing from own activities/sites, sourcing from the immediate neighbourhood of the project and/or sourcing on the market.
- _____
- _____
7. Please describe your **role and responsibilities** in the project (sole or joint supplier, share in the project, etc.):
- _____
- _____
8. 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):
- _____
- _____
9. 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**:
- Use of adjacent land
 - Distance to the nearest residential area
- _____
- _____

Please attach a detailed map or site map

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

☐ Yes ☐ No ☐ Not known

(Definition: Sensitive areas include National Parks and other 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

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 Guideline)	<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** required for the project (relating to the environment, occupational health and safety, operation, etc.) been obtained?

Yes ☐ No ☐

If not, please explain why not or when they are expected to 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"/> |
| ▪ 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.)
- _____
- _____
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?
- _____
- _____
- _____

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.

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 state the project's **total investment volume (for the project as a whole, see question A3)** in euro. In the case of an expansion or replacement/modernisation of an existing facility, please state the **associated total investment volume** in euro. Please also note the connection to the emission data requested in question C11 below, which is used for the pro rata calculation of the emissions associated with your project.

Type of Investment **Total investment volume (in euro)**

New installation

Expansion

Replacement/modernisation

11. Please state the **expected annual greenhouse gas (GHG) emissions³** that are associated with the project (as a whole, see question A3 / as expansion in connection with an expansion investment) as well as the project's **annual energy consumption**. GHG emissions should be calculated according to internationally recognized methods⁴. If the GHG emissions do not refer to the total investment stated under question C10, please explicitly explain the reference in the comments.

- Direct GHG emissions (Scope 1) in tons of CO₂-equivalent per year: t CO₂e / a
- Indirect energy-related emissions (Scope 2) in tons of CO₂-equivalent per year: t CO₂e / a
 - upstream t CO₂e / a
 - downstream t CO₂e / a
- Indirect GHG emissions within the value chain (Scope 3) in tons of CO₂-equivalent per year
- Process emissions⁵ in tons of CO₂-equivalent per year: t CO₂e / a
- The project's energy consumption in GWh per year by energy sources and energy type

	electricity	heat
▪ biomass	GWh /a	GWh /a
▪ lignite	GWh /a	GWh /a
▪ natural gas	GWh /a	GWh /a
▪ renewable	GWh /a	GWh /a
▪ nuclear	GWh /a	GWh /a
▪ coal	GWh /a	GWh /a
▪ unknown/grid purchase	GWh /a	GWh /a

Comments:

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>

⁵ Process emissions refer to greenhouse gas emissions that do not result from burning fossil fuels but from the processing of raw materials (e.g. in connection with the production of cement and steel). An overview of the relevant industry sectors and activities can be found in appendix D of The Greenhouse Gas Protocol: <https://ghgprotocol.org/corporate-standard>

12. 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

	Yes	No	Not known
▪ Important contractors ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Companies of the project's main supply chain ?	<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 **respecting 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: Process and Standards \(ifc.org\)](https://www.ifc.org/~/media/IFC/EBRD/Guidance%20Note%20Workers%20Accommodation%20Process%20and%20Standards.pdf)?

(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 organization, 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.

8. Please provide information on the number of workers involved with the project broken down by type of employment and project phase. Please use the following table.

	Construction phase	Operation phase
Directly employed by the company implementing the project		
Employed by (sub-)contractors		
Day labourers without a formal contract of employment		