



Environmental & Social Monitoring Form

As part of the Environmental & Social Management System (ESMS)

Version 1.0
March 2022

Environmental & Social (E&S) Monitoring Form

Instructions

The Environmental & Social (E&S) Monitoring Form summarises the E&S performance of the Offset Partner. This input data from the Offset Partners serves to help the Foundation understand if its own [Environmental & Social Management System \(ESMS\)](#) is functioning adequately and confirm the portfolio E&S category of the Offset Partner. It also helps the Foundation to inform the annual reporting by the Foundation to its shareholders.

The E&S Expert will send the E&S Monitoring Form to the Offset Partner annually with the request to update the information.

The Offset Partner will provide responses to the questions below. Where helpful, the Offset Partner should supplement responses with additional information or attachments.

Part I of this Form is to be completed by **all** Offset Partners.

→ Question 1.3 and 1.4 refer to Annex 1 (Exclusion List) and Annex 2 (List of High-Risk Activities)

Part II of this Form is **only** to be completed by Offset Partners with **portfolio E&S category A or B+** (as defined in the original [E&S Categorisation](#) by the Foundation or in the E&S Monitoring Form from a previous period).

→ Section 1 of Part II is only to be completed by category A or B+ Offset Partners with an ESMS **under development**

→ Section 2 of Part II is only to be completed by category A or B+ Offset Partners with an ESMS **already in place**

Acronyms

E&S	Environmental and Social
ESMS	Environmental and Social Management System
IFC PS	International Finance Corporation Performance Standards
ILO	International Labour Organisation

Part I – to be completed by all Offset Partners

CONTACT DETAILS			
Offset Partner	Name / Address:	Phone Number:	Website:

E&S Responsible:			
Name and Title	Date (mm/dd/yy)	E-Mail	

PORTFOLIO OVERVIEW					
1.1	Please update your list the top 15 projects (both existing and new) with the most CO ₂ offset during the last year				
	Project name	Sector	Offset amount (tCO ₂ e)	E&S risk category assigned by your institution, if any	Comments, if any
1	Choose a sector	Choose an item.
2	Choose a sector	Choose an item.
3	Choose a sector	Choose an item.
4	Choose a sector	Choose an item.
5	Choose a sector	Choose an item.
6	Choose a sector	Choose an item.
7	Choose a sector	Choose an item.
8	Choose a sector	Choose an item.
9	Choose a sector	Choose an item.
10	Choose a sector	Choose an item.
11	Choose a sector	Choose an item.
12	Choose a sector	Choose an item.
13	Choose a sector	Choose an item.
14	Choose a sector	Choose an item.
15	Choose a sector	Choose an item.
1.2	Please update / provide a summary overview over the entire project portfolio of your institution. (you can also send a data overview in the format of your institution)				
	Sector	Number of projects	Average offset amount (tCO ₂ e)	Approximate share of total portfolio (%)	Comments if any
	Forest
	Agriculture
	Energy Efficiency
	Renewable Energy
	Waste/Landfill
	Other
Portfolio Risk Potential					
1.3	Has your institution engaged in carbon offsetting projects in areas as listed in Annex 1 (Exclusion List) ? (this question refers to your institution's overall portfolio, not only the top 15 project list)			<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If yes, please mark in Annex 1 and specify number and kind of offsetting projects				

PORTFOLIO OVERVIEW			
1.4	Has your institution engaged in carbon offsetting projects in areas as specified in Annex 2 (High Risk List) ? (<i>this question refers to your institution's overall portfolio, not only the top 15 project list</i>)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If yes, please mark in Annex 2 and specify number and kind of the offsetting projects		
1.5	Has any project realised by your institution been associated with the following issues (to the extent your institution is aware)?		
	<input type="checkbox"/> Non-compliance with national environmental, health & safety or labour laws and regulations		
	<input type="checkbox"/> Non-compliance with World Bank/IFC policies and guidelines (if applicable)		
	<input type="checkbox"/> Fatalities or serious injury		
	<input type="checkbox"/> Major accidents (e.g. spills, accidental pollution, fires, ...)		
	<input type="checkbox"/> Labour strikes (with or without violence) or other labour disputes		
	<input type="checkbox"/> Fines, penalties or increased permit charges		
	<input type="checkbox"/> Complaints from regulatory agencies, interest groups, or local communities		
	<input type="checkbox"/> Negative attention on the part of the media or non-governmental organisations		
	<input type="checkbox"/> Any other issue that is likely to severely put at stake the project success or the reputation of the Offset Partner and potentially the Foundation		
	➡ If your answer is "yes" to any question above, please specify number of projects and provide details on the measures taken by your institution and/or project developer to address the issues		
GRIEVANCE MECHANISM			
1.6	Has your institution developed and published a Grievance Mechanism?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If no, please describe the current status of your Grievance Mechanism:		
1.7	Has your institution received any grievances issued by workers, project affected people or other stakeholders that are important and/or urgent?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If yes, please summarise these grievances:		

Part II – only to be completed by Offset Partners with portfolio E&S category A or B+

Section 0: Initial question	
<p>Does your institution have a formal, documented E&S management system based on typical components of an ISO 14001 system (though not necessarily certified)?</p>	<p><input type="checkbox"/> No</p> <p>➔ If your answer is “no” and your institution’s ESMS is already under development, please continue with Section 1 below.</p> <p>➔ If your answer is “no” and your institution’s ESMS development has not yet started, please indicate any plans to implement an ESMS:</p> <p><input type="checkbox"/> Yes: please indicate when it was initiated, if and how it was certified, when latest reviews took place:</p> <p>➔ If your answer is “yes”, please continue with Section 2 below.</p>

Section 1: Environmental and Social Management System (ESMS) under development			
A. E&S Policy and Exclusion List			
1.1. Does your institution have an E&S Policy approved by Management Board?	<input type="checkbox"/> Yes	<input type="checkbox"/> In progress	<input type="checkbox"/> No
1.2. Has your institution already implemented an Exclusion List ?	<input type="checkbox"/> Yes	<input type="checkbox"/> In progress	<input type="checkbox"/> No
B. Environmental and Social Management System (ESMS)			
1.3. By when does your institution plan to finalise the ESMS development and implementation?	Please elaborate on current ESMS status:	
1.4. Does your institution categorise its projects based on exposure to E&S risks sectors?	<input type="checkbox"/> Yes, → please specify method used:	<input type="checkbox"/> Questionnaire <input type="checkbox"/> Checklist <input type="checkbox"/> Other, please specify:	
	<input type="checkbox"/> No		
1.5. Does your institution perform E&S analysis for relevant projects to assess the identified risks?	<input type="checkbox"/> Yes, → please specify method used:	<input type="checkbox"/> Questionnaire <input type="checkbox"/> Desk review of client documentation (i.e. permits etc.) <input type="checkbox"/> Site visits performed by <input type="checkbox"/> Impact assessment commissioned to a third party <input type="checkbox"/> Other, please specify:	
	<input type="checkbox"/> No		
1.6. When identifying, assessing, mitigating and managing the E&S risks associated with projects, what standards does your institution apply?	Standards:		
	<input type="checkbox"/> National standards		
	<input type="checkbox"/> World/Bank IFC PS		
	<input type="checkbox"/> ILO Conventions		
	<input type="checkbox"/> Other, please specify:		
1.7. Does your institution monitor the E&S performance of your projects?	<input type="checkbox"/> Yes, → please specify measures taken:	<input type="checkbox"/> Site visit by your institution’s staff <input type="checkbox"/> Inspection by environmental/health authorities	

	<input checked="" type="checkbox"/> Copies of updated or renewed permits <input type="checkbox"/> Reports from the client <input type="checkbox"/> Other, please specify
	<input type="checkbox"/> No
1.8. How often has your E&S Coordinator visited projects with E&S category A or B+ during the reporting period?	<input type="checkbox"/> Once a year <input type="checkbox"/> No visits <input type="checkbox"/> Other, please specify:
C. Environmental and Social Training	
1.9. Did your institution provide E&S training to staff during the reporting period?	<input type="checkbox"/> Yes, all relevant staff received E&S training. <input type="checkbox"/> Only applicable staff members, including the E&S Coordinator. <input type="checkbox"/> No training was provided

Section 2: Environmental and Social Management System (ESMS) in place	
A. E&S Policy and Exclusion List	
2.1. Has your institution changed or implemented its E&S Policy , and requested approval by Managing Directors during the reporting period?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.2. Has your institution implemented or changed its Exclusion List during the reporting period?	<input type="checkbox"/> Yes → <i>please provide details:</i> <input type="checkbox"/> No
B. Environmental and Social Management System (ESMS)	
2.3. Has your institution made any changes during the reporting period to the ESMS?	<input type="checkbox"/> Yes → <i>provide details below.</i> <input type="checkbox"/> No
ESMS:	Changes (e.g. implementation of a new approach, tools, methods etc.)
a	Project categorisation
b	Project analysis
c	Management and mitigation of risks
d	Monitoring of Offset Partners
e	Other, please specify
2.4. How often has your E&S Coordinator visited projects with E&S category A or B+ during the reporting period?	<input type="checkbox"/> Once a year <input type="checkbox"/> No visits <input type="checkbox"/> Other, <i>please specify:</i>
2.5. Please state any difficulties and/or constraints related to the implementation of the ESMS.	<input type="checkbox"/> Yes → <i>provide details:</i> <input type="checkbox"/> No
2.6. In case the existing ESMS is not fully functional, what are the actions planned or being implemented by your institution?	<input type="checkbox"/> Yes → <i>provide details:</i> <input type="checkbox"/> No

Section 2: Environmental and Social Management System (ESMS) <u>in place</u>	
A. E&S Policy and Exclusion List	
C. Environmental and Social Training	
2.7. Has your institution provided E&S training to staff during the reporting period?	<input type="checkbox"/> Yes, all relevant staff received E&S training. <input type="checkbox"/> Only applicable staff members, including the E&S Expert. <input type="checkbox"/> No training was provided

Annex 1: Exclusion List	
<input type="checkbox"/> Energy efficiency projects in lighting programmes involving lamps that contain mercury	<input type="checkbox"/> Geological CO ₂ sequestration
<input type="checkbox"/> Destruction of trifluoromethane (HFC-23) and nitrous oxide (N ₂ O) from adipic acid production	<input type="checkbox"/> Extraction and processing of fossil fuels or projects in which mainly fossil fuels are used. This does not apply to carbon capture and usage (CCU), for example involving synthetic fuels (e-fuels) or energy efficiency measures in households
<input type="checkbox"/> Activities involving harmful or exploitative forms of forced labour/harmful child labour, discriminatory practices	<input type="checkbox"/> Practices which prevent employees from lawfully exercising their rights of association and collective bargaining
<input type="checkbox"/> Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements. e. g. <input type="checkbox"/> certain pharmaceuticals, pesticides, herbicides and other toxic substances (under the Rotterdam Convention, Stockholm Convention and World Health Organization (WHO) "Pharmaceuticals: Restrictions in Use and Availability")	<input type="checkbox"/> Production or trade in ozone depleting substances subject to international phase-out <input type="checkbox"/> Drift net fishing in the marine environment using nets in excess of 2.5 km in length
<input type="checkbox"/> Activities prohibited by national law or international conventions relating to the protection of biodiversity resources or cultural heritage	<input type="checkbox"/> Trade in wildlife or wildlife products regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
<input type="checkbox"/> Production or trade in products containing PCBs	<input type="checkbox"/> Nuclear power plants (apart from measures that reduce environmental hazards of existing assets) and mines with uranium as an essential source of extraction <input type="checkbox"/> Production, trade, storage, or disposal of radioactive products or radioactive waste
<input type="checkbox"/> Commercial logging operations or the purchase of logging equipment for use in primary tropical moist forestry	<input type="checkbox"/> Prospection, exploration and mining of coal; land-based means of transport and related infrastructure essentially used for coal; power plants, heating stations and cogeneration facilities essentially fired with coal, as well as associated stub lines
<input type="checkbox"/> Casinos, gambling or any business relating to prostitution or pornography	<input type="checkbox"/> Non-conventional prospection, exploration and extraction of oil from bituminous shale, tar sands or oil sands
<input type="checkbox"/> Production or trade of tobacco	<input type="checkbox"/> Production or trade in alcoholic beverages (excluding beer and wine)
<input type="checkbox"/> Production and distribution of racist, anti-democratic and/or neo-Nazi media	<input type="checkbox"/> Business relating to pornography or prostitution
<input type="checkbox"/> Production, trade or usage of bonded or unbonded asbestos fibers	<input type="checkbox"/> Cross-border trade in waste products unless compliant with the Basel Convention and the underlying regulations
<input type="checkbox"/> Projects that involve the conversion or degradation of Critical Natural Habitats	<input type="checkbox"/> Production or trade of persistent organic pollutants (POPs)
<input type="checkbox"/> Large agricultural or forestry enterprises (> 5,000 ha) producing palm oil or wood that do not comply with recognised international certification systems (e. g. RSPO or FSC) or equivalent regulations	<input type="checkbox"/> Production or trade in or use of pharmaceuticals, pesticides/herbicides and other hazardous substances subject to international phase-outs or bans

Annex 2: List of High-Risk Activities	
<input type="checkbox"/> Manufacture, transportation (e. g. tankers, rail, road), storage (e. g. port terminals) and use of hazardous/toxic materials such as pesticides/herbicides or other chemicals	<input type="checkbox"/> Projects with impacts on any protected natural habitat or any area of high biological diversity such as coral reefs, wetlands, primary forests
<input type="checkbox"/> Domestic and hazardous waste storage, treatment, recycling & disposal operations (incl. incineration)	<input type="checkbox"/> Mining operations and other large ferrous and non-ferrous metal operations (such as smelters, refineries and foundries)
<input type="checkbox"/> Forestry and large-scale logging operations	<input type="checkbox"/> Large-scale textile industries involving wet process (incl. tanneries)
<input type="checkbox"/> Construction or major extension of dams, reservoirs, large-scale irrigation projects, river basin developments and other projects affecting water supply in a region	<input type="checkbox"/> Large thermal, gas turbine, hydro, diesel and crude oil driven power stations
<input type="checkbox"/> Pulp and paper industries	<input type="checkbox"/> Large-scale tourism developments
<input type="checkbox"/> Large infrastructure projects such as ports and harbour operations, airports, roads, railroads or other mass transit systems	<input type="checkbox"/> Projects with extended construction activities (e. g. workers camp needed, large number of construction workers, ...)
<input type="checkbox"/> Agriculture involving the release of GMOs (genetically modified organisms) in the natural environment	<input type="checkbox"/> Projects with impacts on cultural property, such as religious, historical, archaeological sites
<input type="checkbox"/> Large-scale industrial plants and estates	<input type="checkbox"/> Agro-industries (large-scale)
<input type="checkbox"/> Oil and gas developments, including major pipelines as well as crude oil refineries and petrochemical facilities	<input type="checkbox"/> Projects in or near to highly sensitive and high value ecosystems
<input type="checkbox"/> Chemical industries and pharmaceutical production	<input type="checkbox"/> Municipal water or wastewater infrastructure
<input type="checkbox"/> Projects with > 25% of workforce belonging to defined groups (e. g. temporary workers, migrants, minors, disabled persons)	<input type="checkbox"/> Projects with significant impacts on economic and social basis of local communities
<input type="checkbox"/> Projects involving traditional land rights	<input type="checkbox"/> Large scale cement and lime processing
<input type="checkbox"/> Projects involving sub-contractors and home workers accounting for > 25% of the workforce and/or projects outsourcing core business activities to sub-contractors	<input type="checkbox"/> Projects involving large retrenchment (more than 20 % of workforce)
<input type="checkbox"/> Projects with > 200 workers in low-wage industries	<input type="checkbox"/> Projects affecting indigenous people
<input type="checkbox"/> Projects in Free Trade Zones or with trans-boundary effects at country border lines	<input type="checkbox"/> Privatisation with potential restrictions on the access to basic supply (e. g. water, energy, ...)
<input type="checkbox"/> Projects which pose serious occupational or health risks	<input type="checkbox"/> Projects with physical or economic resettlement components