



Environmental & Social Portfolio Screening Questionnaire

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

Version 1.1
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Environmental & Social (E&S) Portfolio Screening Questionnaire

Thank you for choosing the Foundation Development and Climate Alliance (“Foundation”) as your partner. Our Foundation, as a publicly funded institution, is committed to upholding and respecting Environmental and Social (E&S) requirements and human rights in all of our activities and we are strongly convinced that every sector has an active role to play in the positive interaction between economic, social and ecological development to balance the interests of this and future generations. Furthermore, we consider sustainable development as one of the key factors for a successful long-term business operation. Therefore, we only advise and promote Offset Partners and projects that share our convictions and can provide evidence that their processes, products and services manage E&S risks associated with their activities or that they are prepared to implement necessary measures to do so in the future.

This E&S Portfolio Screening Questionnaire has been designed as an easy and quick checklist for our potential Offset Partners to provide initial information to the Foundation in order for us to understand the scale and significance of the E&S know-how and procedures applied at the Foundation to evaluate the E&S impacts and risks of its engagement. In the unlikely event that significant issues are identified, it may be necessary to follow up with a closer investigation of these specific E&S aspects by external experts. All information will of course be treated confidentially.

The Foundation’s review of your answers to this E&S Portfolio Screening Questionnaire will be based on widely used and internationally recognized requirements laid out in (1) the Kreditanstalt für Wiederaufbau (KfW) Exclusion List¹ and Sustainability Guidelines², (2) the International Finance Corporation (IFC) Performance Standards³ and (3) the Core Labour Standards of the International Labour Organization (ILO)⁴.

Instructions

Part I of the Questionnaire is to be completed by the potential Offset Partners during the application phase and subsequently reviewed by the Foundation’s E&S Expert.

Part II will be filled out by the Foundation’s E&S Experts only.

- Please note that the term “environment” and “social” include environmental and health & safety issues, as well as labour conditions and impacts on local communities or other relevant stakeholders, on social and cultural infrastructure, and on cultural heritage.
- Please attempt to answer all questions and attach additional information where appropriate. If certain questions are not relevant to your business, please write “not applicable”; if information is not available, please write “no information”.
- Please provide all information in English language.

Thank you very much for your cooperation.

If you have any questions or comments, please do not hesitate to contact your contact person at the Foundation.

¹ https://www.kfw.de/PDF/Download-Center/Konzernthemen/Nachhaltigkeit/Ausschlussliste_EN.pdf

² <https://www.kfw.de/About-KfW/Service/Download-Center/Konzernthemen/Nachhaltigkeit/Richtlinien/>

³ https://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/Sustainability-At-IFC/Policies-Standards/Performance-Standards

⁴ <https://www.ilo.org/global/standards/lang--en/index.htm>

1. Portfolio							
1.2.1	Please provide aggregated data for new projects during the last year on a per-sector basis (e.g. renewable energy/ energy efficiency/ forest conservation etc.).						
	Sector	Number of projects	Average offset amount (tCO ₂ e)	E&S risk category assigned by your institution, if any	Comments, if any		
		
		
		
		
		
1.2.2	Please provide the approximate share of project certification for new projects during the last year (number of projects in %).						
	GS4GG	VCS	VCS + CCBS	VCS + SD VISta	Plan Vivo	Other (please specify)	
	
1.3.1	Please provide a summary overview over the entire project portfolio of your institution.						
	Sector	Number of projects	Average offset amount (tCO ₂ e)	Approximate share of total portfolio (%)	Comments, if any		
		
		
		
		
		
		
		
1.3.2	Please provide the approximate share of project certification over the entire project portfolio of your institution (number of projects in %).						
	GS4GG	VCS	VCS + CCBS	VCS + SD VISta	Plan Vivo	Other (please specify)	
	
Portfolio Risk Potential							
1.4	Has your institution engaged in carbon offsetting projects in areas as listed in Annex 1 ?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If yes, please mark in Annex 1 and specify number and kind of offsetting projects.						
1.5	Has your institution engaged in carbon offsetting projects in areas as specified in Annex 2 ?					<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If yes, please mark in Annex 2 and specify number and kind of the offsetting projects.						
1.6	Has any project realised by your institution been associated with the following issues?						
	<input type="checkbox"/> Non-compliance with national environmental, health	<input type="checkbox"/> Fatalities or serious injury			<input type="checkbox"/> Major accidents (e.g. spills,		

1. Portfolio		
	& safety or labour laws and regulations	accidental pollution, fires, ...)
<input type="checkbox"/>	Non-compliance with World Bank/IFC policies and guidelines (projects with high risks as in Annex 2)	<input type="checkbox"/> Strikes (with or without violence) or other labour disputes
<input type="checkbox"/>	Non-compliance with covenants or other legal agreements	<input type="checkbox"/> Non-compliance with an agreed Environmental and/or Social Action plan
<input type="checkbox"/>	Fines, penalties, or increased permit charges	<input type="checkbox"/> Legal action
<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
<p>➔ 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 any instances of non-compliance.</p>		

2. Environmental & Social Risk Management			
E&S Policy and Management			
2.1	Is the selection of your projects guided by a specific E&S Policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➔ If yes, please provide a copy.		
2.2	Does your institution have formal procedures for E&S Assessment and Monitoring of individual projects (an E&S Management System, ESMS)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➔ If yes, please provide a copy.		
2.3	Specifically, which standards does your institution apply as part of its E&S Management?		
	<input type="checkbox"/> World Bank/ IFC policies and guidelines	<input type="checkbox"/> National environmental, health & safety and labour laws and regulations	
	<input type="checkbox"/> ILO Core Labour Conventions (no child and forced labour, no discrimination, freedom of association)	<input type="checkbox"/> Other, please specify:	
2.4	Do you contractually bind your project developers to comply with national environmental, health & safety and labour laws and regulations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.5	Do you contractually bind all your project developers with the applicable World Bank/ IFC E&S or other international standards	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➔ If yes, please specify:		
Identification of E&S Risks in Projects			
2.7	Please indicate whether the following procedures are part of your E&S assessment process:		
	<input type="checkbox"/> No appraisal of E&S issues	<input type="checkbox"/> Desk-based review of E&S related documents only	
	<input type="checkbox"/> Desk-based review of documented E&S procedures plus site visit		
	<input type="checkbox"/> Use of checklist or questionnaire	<input type="checkbox"/> Use of external specialists'/consultants' assistance	
	<input type="checkbox"/> Application of exclusion list (if yes, which ones?)	<input type="checkbox"/> Rating/ categorisation of E&S risks related to the project	

2. Environmental & Social Risk Management				
	<input type="checkbox"/> Assessment of nature of collateral	<input type="checkbox"/> Other, please specify:		
2.8	Does your institution commission or do you request your project developers to commission:			
	<input type="checkbox"/> Environmental and Social Impact Assessments (ESIAs)	<input type="checkbox"/> Environmental and Social Due Diligences (ESDDs)		
	⇒ If yes, please specify:			
2.9	Have you negotiated and agreed upon E&S Action Plans (ESAP) with your project developers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	⇒ If yes, please specify:			
2.10	Have you rejected any potential projects for environmental and/or social reasons?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	⇒ If yes, please specify number and kind of projects rejected in the past year:			
E&S Monitoring				
2.11	How do you ascertain whether your project developers comply with applicable relevant environmental, health & safety and social regulations?			
2.12	How often do you conduct supervision or monitoring visits?			
	For high risks projects	<input type="checkbox"/> quarterly	<input type="checkbox"/> biannually	<input type="checkbox"/> annually
		<input type="checkbox"/> other, please specify:		
	For medium risks projects	<input type="checkbox"/> quarterly	<input type="checkbox"/> biannually	<input type="checkbox"/> annually
		<input type="checkbox"/> other, please specify:		
2.13	Do you routinely discuss E&S issues with your project developers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	⇒ If yes, what are the most common E&S issues you discuss with your project developers and how do they respond?			
2.14	Do your project developers report on their E&S performance on a regular basis?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	⇒ If yes, please specify including form of reporting:			

3. Environmental & Social Know-how				
3.1	Do you have a dedicated member of staff/team routinely dealing with E&S issues, i.e. E&S Manager/E&S Management Team?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	⇒ If yes, please indicate name, phone and e-mail address:			
3.2	Has the E&S Manager/Team recently attended any training on E&S Management by a reputable organisation?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	⇒ If yes, please specify, including name of organisation, date and course:			
3.3	Has relevant E&S training been provided to other staff of your institution?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	⇒ If yes, please specify:			

4. Cooperation with Development Finance Institutions			
4.1	Are you interested in the Foundation's assistance to develop/improve your ESMS, dedicated staff training/capacity building etc.?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If yes, please specify:		
4.2	Do you cooperate with other foundations or institutions like KfW, IFC, EBRD, World Bank, ADB etc. on the development and implementation of E&S requirements in your business activities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	➡ If yes, please specify:		

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	<input type="checkbox"/> Production or trade in ozone depleting substances subject to international phase-out
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"/> 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"/> Commercial logging operations or the purchase of logging equipment for use in primary tropical moist forestry	<input type="checkbox"/> Production, trade, storage, or disposal of radioactive products or radioactive waste
	<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

Part II - to be completed by the Foundation's E&S Experts

Executive Summary of Offset Partner's E&S Risks		
<i>Summarise the main E&S risks that were identified in the Questionnaire (Part I)</i>		
Topic	Associated Section in Questionnaire	Identified Risks or Areas of Concern
Excluded Activities	1.4, 1.5	
Known E&S Issues	1.6	
E&S Governance and Compliance	2.1 – 2.5	
Project E&S Risk Identification	2.7 – 2.10	
E&S Monitoring	2.11 – 2.14	
E&S Competency	3.1 – 3.3	
Other		