



# **Environmental & Social Project Screening Questionnaire**

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

**Version 1.1**  
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## Environmental & Social (E&S) Project Screening Questionnaire

Thank you for being an Offset Partner of the Foundation Development and Climate Alliance (“Foundation”).

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 projects that share our convictions and can provide evidence that their processes, products, and services manage E&S risks associated with their activities.

This E&S Project Screening Questionnaire has been designed as an easy and quick checklist for our Offset Partners to provide information to the Foundation to evaluate the E&S impacts and risks of projects published on the website of the Foundation. 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 E&S Project Screening Questionnaire will be based on widely used and internationally recognized requirements laid out in (1) the Kreditanstalt für Wiederaufbau (KfW) Exclusion List<sup>1</sup> and Sustainability Guidelines<sup>2</sup>, (2) the International Finance Corporation (IFC) Performance Standards<sup>3</sup> and (3) the Core Labour Standards of the International Labour Organization (ILO)<sup>4</sup>.

The categories are as follows:

<b>Portfolio E&amp;S Categories</b>	<b>Description</b>
Category A (high risk)	Projects with <b>potential significant</b> adverse E&S risks and/or impacts that are diverse, irreversible, or unprecedented.
Category B+ (substantial risk)	Projects with <b>single significant</b> adverse E&S impacts and risks.
Category B (moderate risk)	Projects with <b>potential limited</b> adverse E&S risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures.
Category C (low risk)	Projects with <b>minimal or no</b> adverse E&S risks and/or impacts.

**Table 1: Project E&S Categories**

In addition, the results of the *Gap Analysis of the Climate Standards*<sup>5</sup> will be used to identify satisfactory E&S projects based on their used Standards. According to this study, generally the application of the GS4GG (core standard) can be recommended for the environmental and social quality of offset projects, as well as the

<sup>1</sup> [https://www.kfw.de/PDF/Download-Center/Konzernthemen/Nachhaltigkeit/Ausschlussliste\\_EN.pdf](https://www.kfw.de/PDF/Download-Center/Konzernthemen/Nachhaltigkeit/Ausschlussliste_EN.pdf)

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

<sup>3</sup> [https://www.ifc.org/wps/wcm/connect/Topics\\_Ext\\_Content/IFC\\_External\\_Corporate\\_Site/Sustainability-At-IFC/Policies-Standards/Performance-Standards](https://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/Sustainability-At-IFC/Policies-Standards/Performance-Standards)

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

<sup>5</sup> <https://allianz-entwicklung-klima.de/wp-content/uploads/2021/01/2020-Gap-Analyse-von-Klimastandards-Stiftung-Allianz-fuer-Entwicklung-und-Klima.pdf>

application of the VCS (core standard) in combination with the additional standards CCBS and/or the SD VISTa. The GS4GG is the only one of the core standards that performs well to average in all environmental and social areas and can therefore be recommended in its entirety. The VCS scores average in most environmental and social areas. The weaknesses of the VCS in land use projects can be improved by an additional application of the CCBS or, if the focus is on SDG impacts, by the SD VISTa. In contrast to the CCBS, the SD VISTa is applicable to all sectors, but scores somewhat lower than the CCBS from an environmental and social perspective.

Therefore, all projects certified according to these Climate Standards can be presented on the Foundation’s website without any further E&S investigation. The list of permissible standards will be regularly reviewed and adapted.

Projects with the following Climate Standards do not require further E&S review:

- **Gold Standard for the Global Goals (GS4GG)<sup>6</sup>;**
- **Verified Carbon Standard (VCS)<sup>7</sup> in combination with**
  - **Climate, Community and Biodiversity Standards (CCBS)<sup>8</sup> or**
  - **Sustainable Development Verified Impact Standard (SD VISTa)<sup>9</sup>**

For all other projects an additional E&S check is required.

**All projects that receive the approval from the Foundation will be listed on the Foundation’s website.**

Depending on the project E&S category of these projects, certain E&S Studies need to be conducted and uploaded as well on the platform/website as shown in the table below.

E&S Studies	Project E&S Category			
	A	B+	B	C
<i>Environmental and Social Impact Assessment (ESIA)</i>	✓	✓	✓	X
<i>Non-Technical Summary (NTS)</i>	✓	✓	✓	X
<i>Environmental and Social Management Plan (ESMP)</i>	✓	✓	✓	X

**Table 2: Required E&S Studies**

As a prerequisite for publishing category A, B+ and B projects on the Foundation’s platform/website, the Offset Partner will provide an E&S Impact Assessment (ESIA) proportionate to the potential E&S risks and impacts of the project and shall meet the requirements of the IFC PS 1 to 8 as applicable. Further, it is required that an easy-to-understand summary (Non-Technical Summary, NTS) of the main E&S findings and mitigation measures including the stakeholder engagement process will be part of the project presentation. Offset Partners will also provide an E&S Management Plan (ESMP) for each project they want to present on the Foundation’s platform/website.

**For category C projects no further studies are required.**

<sup>6</sup> <https://globalgoals.goldstandard.org/>

<sup>7</sup> <https://verra.org/project/vcs-program/rules-and-requirements/>

<sup>8</sup> <https://verra.org/project/ccb-program/rules-requirements-and-guidance/>

<sup>9</sup> <https://verra.org/project/sd-vista/rules-requirements/>

As part of the ESDD, the E&S Expert will assess whether all of the above required studies have been appropriately prepared for those projects proposed to be published on the website.

## Instructions

Part I The Questionnaire is to be completed by the potential Offset Partners 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 get in touch with your contact person at the Foundation.

## Part I – to be completed by the Offset Partner

Contact Details				
<b>Offset Partner</b>	Name/Address/Position: .....	Phone Number: .....	Fax Number: .....	Website: .....
Executive board member with responsibilities for sustainability, environmental and social issues:	.....	E-mail: .....		
E&S contact person:	.....	E-mail: .....		

Project Listed on the Foundation’s Website			
<b>Institutional Risk Potential</b>			
1.1	Has your institution engaged in carbon offsetting projects in areas as listed in <b>Annex 1</b> ?		
	➡ If yes, please mark in <b>Annex 1</b> and specify number and kind of offsetting projects. ....		
1.2	Has your institution engaged in carbon offsetting projects in areas as listed in <b>Annex 2</b> ?		
	➡ If yes, please mark in <b>Annex 2</b> and specify number and kind of the offsetting projects. ....		
1.3	Has any project realised by your institution been associated with the following issues?		
	<input type="checkbox"/> Non-compliance with national environmental, health & safety or labour laws and regulations	<input type="checkbox"/> Fatalities or serious injury	<input type="checkbox"/> Major accidents (e. g. spills, 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	
	➡ 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. ....		

Project Listed on the Foundation's Website					
Project Risk Potential					
1.4	Please list project(s) (both existing and new) listed on the Foundation's website.				
	Project name	Type of project	Offset amount (tCO <sub>2</sub> e)	E&S risk category assigned by your institution, if any	Comments, if any
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
	.....	.....	.....	.....	.....
1.5	Is the project certified by one of the following standards?				
	GS4GG	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
	VCS + CCBS or SD VISta	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
	Please provide a web link to the project registry where the project is listed:				
1.6	If you answered the question with yes, no further information is required. Otherwise please proceed to Section 2.				

**2. Environmental and Social Risk Management - only for projects not certified with GS4GG or VCS + CCBS/SD VISta**

E&S Policy and Management			
2.1	Is/Are the project/s 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			
2.6	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	

**2. Environmental and Social Risk Management - only for projects not certified with GS4GG or VCS + CCBS/SD VISTa**

	<input type="checkbox"/> Application of exclusion list (if yes, which ones?)	<input type="checkbox"/> Rating/categorisation of E&S risks related to the project		
	<input type="checkbox"/> Assessment of nature of collateral	<input type="checkbox"/> Other, please specify: .....		
2.7	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: .....			
2.8	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: .....			
2.9	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: .....			
<b>E&amp;S Monitoring</b>				
2.10	How do you ascertain whether your project developers comply with applicable relevant environmental, health & safety and social regulations? .....			
2.11	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: .....		
2.12	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? .....			
2.13	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: .....			

Annex 1: Exclusion List	
<input type="checkbox"/> Energy efficiency projects in lighting programmes involving lamps that contain mercury	<input type="checkbox"/> Geological CO <sub>2</sub> sequestration
<input type="checkbox"/> Destruction of trifluoromethane (HFC-23) and nitrous oxide (N <sub>2</sub> 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"/> 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"/> Casinos, gambling or any business relating to prostitution or pornography	<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"/> Production or trade of tobacco	<input type="checkbox"/> Non-conventional prospection, exploration and extraction of oil from bituminous shale, tar sands or oil sands
<input type="checkbox"/> Production and distribution of racist, anti-democratic and/or neo-Nazi media	<input type="checkbox"/> Production or trade in alcoholic beverages (excluding beer and wine)
<input type="checkbox"/> Production, trade or usage of bonded or unbonded asbestos fibers	<input type="checkbox"/> Business relating to pornography or prostitution
	<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

<b>Annex 2: List of High-Risk Activities</b>	
<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

<b>Executive Summary of Projects E&amp;S Risks</b> <i>Summarise the main E&amp;S risks that were identified in the Questionnaire (Part I)</i>		
<b>Topic</b>	<b>Associated Section in Questionnaire</b>	<b>Identified Risks or Areas of Concern</b>
<b>Institutional Risk Potential</b>	1.1 – 1.3	
<b>Project Risk Potential, including Standards</b>	1.4 – 1.6	
<b>E&amp;S Policy and Management</b>	2.1 – 2.5	
<b>Identification of E&amp;S Risks in Projects</b>	2.6 – 2.9	
<b>E&amp;S Monitoring</b>	2.10 – 2.13	
<b>E&amp;S Competency</b>	3.1 – 3.3	
<b>Overall Assessment</b>		