

CHECKLIST FOR ENVIRONMENTAL AND SOCIAL REVIEW OF TRANSACTIONS

1 Aim

This is an Export Finance Australia tool used by the Director Environmental and Technical Review for confirming that the Procedure for environmental and social review of transactions was implemented. It is through the Procedure that Export Finance Australia's Policy for environmental and social review of transactions is applied.

This checklist aims are to:

- ensure consistent application of the Policy and Procedure.
- aid external reviewers.

Completed checklists for transactions are not made public.

This checklist does not apply to transactions where a general facility review is applicable or transactions assessed by use of the SBEL or SME environmental and social screen as those transactions are, by definition, determined to have low environmental and/or social risk. Only relevant sections of this template are required for the completed checklist. Sections may be removed from the template if not needed.

2 Transaction information

2.1 Request Description

Information matching the opportunity details from INFOR submitted as part of a Request for Tech, E&S Review.

Client:			
Transaction name:			
Is Facility?	New: <input type="checkbox"/>	Existing: <input type="checkbox"/>	Renewal: <input type="checkbox"/>
Facility type:			
Supply chain transaction?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Transaction value:			
Industry sector:			
Country location of transaction or project:			
Known export destinations (as provided in INFOR/EXFOS):			

Other transaction information

Information provided or relevant to the transaction that supported the review.

Transaction description:		
Global Approaches	For reporting purposes, nominate which Global Approaches apply to the transaction:	
	Common Approaches <input type="checkbox"/>	Equator Principles <input type="checkbox"/>
Modern Slavery Statement Required:	Yes <input type="checkbox"/> Required when annual revenue greater than \$100million.	No <input type="checkbox"/>
Military Equipment:	Yes <input type="checkbox"/>	No <input type="checkbox"/>

	If yes , the review is completed in line with the Military Policy.	
Energy Efficiency Related:		
Main references reviewed:		
Client discussions / meetings / site visit:		

2.2 Screening and Classification

Provide a ✓ where appropriate within the tables and complete all relevant sections for the transaction.

A new project or an existing project undergoing material change	<input type="checkbox"/>	Go to section 2.2.1
Associated with an existing project	<input type="checkbox"/>	Go to section 2.2.3
Non-project	<input type="checkbox"/>	
Bond	<input type="checkbox"/>	

2.2.1 Applicable Environmental and/or Social Standards, Policies and Management Systems

Provide a ✓ where appropriate within the tables and complete all relevant sections for the transaction.

Environmental and/or social information	Yes	No	Unknown	Not Relevant
Which standard is the project designed to comply with?				
<ul style="list-style-type: none"> Host country 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the host country an EP Designated country?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> IFC Performance Standards World Bank EHS Guideline, or Sector Guideline Australian Other 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If the standard used is not the IFC Performance Standard, is it equivalent to or more stringent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Located in or adjacent to a sensitive area (see Procedure Glossary of terms)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental &/or Social Policies:				
Export Finance Australia client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project sponsor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Management systems applicable:				
Export Finance Australia client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project sponsor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Management plans applicable:				
Export Finance Australia client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project sponsor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other:				
Environmental and social impact assessment documentation available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Independent adviser reports available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If other key information sources were used these should be described in the review document. That information may include information from others such as affected communities, civil society organisations, and the Australian public, etc.

For SME transactions using the checklist as the review, relevant information is either contained in the transaction folder,

Infor or listed below.

For other transactions using the checklist is not intended to repeat all the review information. The full review can be found in the Technical, Environmental and Social Review Report. Supporting information is either contained in the transaction folder, Infor or referenced in the Full Report.

2.2.2 New project categorising screening

The categorisation should consider the definitions provided in the Export Finance Australia Procedure.

Indicate where there may be a potential for environmental and social impact relating to the Project.

Provide a ✓ where appropriate within the tables and complete all relevant sections for the transaction.

Potential Impacts	Relevant		Comment where the potential impacts are relevant to Categorisation
	Y	N	
Environmental Air emissions (i.e. generation of significant air emission, including GHG).	<input type="checkbox"/>	<input type="checkbox"/>	
Waste (i.e. generation of effluents, waste, hazardous waste, wastewater).	<input type="checkbox"/>	<input type="checkbox"/>	
Noise and vibration.	<input type="checkbox"/>	<input type="checkbox"/>	
Significant use of natural resources.	<input type="checkbox"/>	<input type="checkbox"/>	
Impacts on endangered species.	<input type="checkbox"/>	<input type="checkbox"/>	
Located in or near sensitive areas.	<input type="checkbox"/>	<input type="checkbox"/>	
Social Labour and working conditions.	<input type="checkbox"/>	<input type="checkbox"/>	
Community health, safety, and security.	<input type="checkbox"/>	<input type="checkbox"/>	
Land acquisition and involuntary resettlement.	<input type="checkbox"/>	<input type="checkbox"/>	
Indigenous peoples, cultural heritage	<input type="checkbox"/>	<input type="checkbox"/>	
Project-related human rights impacts, including forced labour, child labour and life-threatening occupational health and safety situations.	<input type="checkbox"/>	<input type="checkbox"/>	
Other Overseas Infrastructure Project related to 5G communications networks or communications technology.	<input type="checkbox"/>	<input type="checkbox"/>	

Based on available information, and where all answers are **No**, then the new Project has minimal to no potential for adverse environmental or social impacts, no further action is required, and the transaction is a **Category C** Project.

Category A	<input type="checkbox"/>	Go to Part 4, Part 5 and Part 6
Category B	<input type="checkbox"/>	Go to Part 4 and Part 6
Category C	<input type="checkbox"/>	Go to Part 3

Guidance for determining the category was obtained from:

Category guidance used	Yes	No	Not relevant
Category definitions (E&S Procedure)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OECD Common Approaches Annex 1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Category guidance used	Yes	No	Not relevant
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For all other projects, further review is required to determine the categorisation. Provide a summary of the transaction’s categorisation rationale below:

2.2.3 Existing project, non-project or bond

The Screen in Attachment 1 provides a guide for the need for further analysis and in which specific area.

Based on available information, if a non-project transaction is not identified under the screen in Attachment 1 as “may have potential environmental and social impact”, no further action is required, and the transaction has **LOW POTENTIAL – NON-PROJECT OR BOND** for environmental and social risk.

Transaction with low potential for environmental and/or social impact	<input type="checkbox"/>	Go to Part 3
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If a non-project transaction is identified under the screen as “may have potential environmental and social impact”, the transaction should be further assessed to determine the potential risk. Note that this review could still lead to the conclusion that a transaction has **Low Potential** for environmental and social impacts.

Transaction with low potential for environmental and/or social impact	<input type="checkbox"/>	Go to Part 3
Transaction with potential for environmental and/or social impact	<input type="checkbox"/>	Go to Part 4

Provide a summary of the rationale for determining the transaction’s level of potential environmental and/or social impact below (with supporting information contained in the transaction folder and Infor):

3 Consideration

Category C	<input type="checkbox"/>
Low Potential – non-project or bond	<input type="checkbox"/>
Military Equipment	<input type="checkbox"/>

Environmental and/or social risk evaluation report prepared:

By:

Date:

Approval for this type of transaction is made in accordance with Board delegated credit approvals.

The review for this transaction is now complete.

For non-project transactions see Attachment 1 for Screening used.

4 Risk evaluation

4.1 Transaction associated with Category A or B project or a transaction with potential for impact.

Export Finance Australia's usual benchmark is the IFC Performance Standards. Indicate which Performance Standards were relevant for the project risk evaluation in the Table below. Attachment 3 and 4 provides additional guidance for the risk evaluation. The risk evaluation report should consider each relevant Performance Standard.

Provide a ✓ where appropriate within the tables and complete all relevant sections for the transaction.

Performance Standard	Relevant	Not relevant
1 Assessment and Management of Social & Environmental Risks and Impacts	<input type="checkbox"/>	<input type="checkbox"/>
2 Labour and Working Conditions	<input type="checkbox"/>	<input type="checkbox"/>
3 Resource Efficiency and Pollution Prevention	<input type="checkbox"/>	<input type="checkbox"/>
4 Community Health, Safety, and Security	<input type="checkbox"/>	<input type="checkbox"/>
5 Land Acquisition and Involuntary Resettlement	<input type="checkbox"/>	<input type="checkbox"/>
6 Biodiversity Conservation and Sustainable Management of Living Natural Resources	<input type="checkbox"/>	<input type="checkbox"/>
7 Indigenous Peoples	<input type="checkbox"/>	<input type="checkbox"/>
8 Cultural Heritage	<input type="checkbox"/>	<input type="checkbox"/>

Appointment of an IESC	Yes	No	Comments
1 Has an Independent E&S Consultant (IESC) been appointed to the project?	<input type="checkbox"/>	<input type="checkbox"/>	
2 Has an E&S Action Plan (ESAP) been prepared to address gaps in the Project's compliance with the applicable E&S standards?	<input type="checkbox"/>	<input type="checkbox"/>	

List any World Bank EHS Guidelines used in the risk evaluation:

List any other guidelines used in the risk evaluation:

If an alternate benchmark was used identify and describe below:

Benchmarking may identify a need for further studies, many of which can be required as conditions of support. Some factors, those involving human rights, may require further work prior to making a decision and the Performance Standard benchmarking should generally identify the need for such work.

Some additional factors to consider are presented in the following table:

Characteristic	Relevant?		Adequately addressed in Project Documentation?	
	Yes	No	Yes	No
Export Finance Australia's Country Risk Assessment identifies human rights issues relevant to the transaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Located in a conflict or post conflict area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Large-scale influx of workers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Characteristic	Relevant?		Adequately addressed in Project Documentation?	
	Yes	No	Yes	No
Use of armed security or a security force not managed by the project sponsor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Host country with any of the following characteristics: <ul style="list-style-type: none"> large migrant workforce documented repression of minorities 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional assessment is required when:

- a “Yes” response is provided to any characteristic and the issue is not adequately addressed in the project documentation, or
- Export Finance Australia’s due diligence identifies human rights concerns that are not adequately addressed in the project documentation.

The additional assessment must address the identified risks, including any adversely affected human rights.

Note for transactions which have completed a review under Part 4, provide commentary in Section 2.3, with supporting information contained in the transaction folder and Infor.

5 Disclosure

Export Finance Australia’s potential involvement must be disclosed for all Category A projects (refer to Procedure for environmental and social review of transactions, Section 2.2.3).

6 Consideration

Category A	<input type="checkbox"/>
Category B	<input type="checkbox"/>
Potential Impacts – non project or bond	<input type="checkbox"/>

Approvals necessary are summarised below:

Criterion	Approval required
Transaction associated with a Category A New Project not located in Australia and a value greater than SDR 10 million	Board
Transaction associated with a Category A New Project located in Australia	Board delegated approval to the Managing Director for transactions with a value less than A\$50 million. Above A\$50 million are subject to Board approval.
All other transactions	Made in accordance with Board delegated credit approvals.

Environmental and/or social risk evaluation report prepared:

By:

Date:

For all Category A and B transactions, an E&S Certificate of Currency shall be completed prior to signing of the transaction.

The review for this transaction is now complete.

7 Checklist amendments

Checklist version	Date and details
20 July 2011	Implementation following Checklist approval by the Executive and legal review
30 August 2012	Classification rationale summary added to section 2.3.1.
12 March 2013	Update following Policy/Procedure audit
27 June 2013	Amendments following the release of Equator Principles 3 (June 4 2013) and a decision to disclose Export Finance Australia's potential involvement in Category A projects located in Australia.
19 January 2016	Amendments following Procedure update of August 2015 and general housekeeping edits.
19 December 2018	Amendments to screen to match amendments to SME screen.
5 August 2019	Defined Considerations in line with Infor system inputs. Changed text Efic to Export Finance Australia
5 November 2019	Amendments to screen, additional detail provided within section 2.3.2 and explanatory guidance in attachment 2 and 3.
24 June 2021	Added further details in Section 2.3.1 for the screening and categorisation of Projects.
15 February 2022	Update to reflect minor amendments to the Policy and Procedure.
20 June 2022	Minor edits to improve process flow.
4 April 2023	Addition of Modern Slavery Statement requirement.
30 June 2023	Updated to reflect refined review process flow.
05 February 2024	Updated to address observations from the Assurance Audit

ATTACHMENT 1 Non-Project Screen

Use of the screen criteria by a Director, Environmental & Technical Review for non-projects to guide assessment. Attachment 2 provides additional explanation behind the screen.

	Yes	No	N/A	Reason/Standard/source/ further comments
<p>Step 1 – Australian Goods and Services</p> <p>The goods and/or services are substantially produced and exported from Australia?</p> <ul style="list-style-type: none"> If “YES”, proceed to step 2. If “NO”, then the transaction may have potential¹ environmental and social impact, proceed to step 2 	<input type="checkbox"/>	<input type="checkbox"/>		
<p>Step 2 – Australian Supply Chain or Tourism</p> <p>Is the transaction part of an Australian supply chain (i.e. used at an Australian project or delivered to an exporter based in Australia) or is it a tourism transaction?</p> <ul style="list-style-type: none"> If “YES”, proceed to step 6. If “NO”, proceed to step 3. 	<input type="checkbox"/>	<input type="checkbox"/>		
<p>Step 3 – Existing Project or Known Destination</p> <p>Does the Director know the ultimate destination of the export? i.e. does the Director know the location of the associated project, commercial, industrial or infrastructure undertaking to which the export is destined?</p> <ul style="list-style-type: none"> Proceed to step 4. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Step 4 – Country Screening</p> <p>Is the project to which the goods or services are ultimately to be exported located in an EP designated country²?</p> <ul style="list-style-type: none"> Proceed to step 5. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Step 5 – Industry and Sector Screening</p> <p>Are the goods or services related (i.e. destined for that sector) to an industry sector³ listed below?</p>			<input type="checkbox"/>	

¹ Note the transaction requires further assessment to determine the potential for risk.

² List of countries as defined by the Equator Principles as those countries deemed to have robust environmental and social governance, legislation systems and institutional capacity designed to protect their people and the natural environment (<https://equator-principles.com/designated-countries/>).

³ Risk sectors are chosen based on the projects/activities listed as Category A Projects in ANNEX I of the Common Approaches ([http://www.oecd.org/officialdocuments/publicdisplaydocumentpdf/?doclanguage=en&cote=tad/ecg\(2016\)3](http://www.oecd.org/officialdocuments/publicdisplaydocumentpdf/?doclanguage=en&cote=tad/ecg(2016)3)).

	Yes	No	N/A	Reason/Standard/source/ further comments
<ul style="list-style-type: none"> If “YES”, then the transaction may have potential environmental and social impact, proceed to step 6. If “NO”, proceed to step 6. 				
Communications or communications technology	<input type="checkbox"/>	<input type="checkbox"/>		
Chemical manufacturing	<input type="checkbox"/>	<input type="checkbox"/>		
Clothing and footwear manufacturing	<input type="checkbox"/>	<input type="checkbox"/>		
Dams for water supply or hydro power	<input type="checkbox"/>	<input type="checkbox"/>		
Live animal exporting or animal farming	<input type="checkbox"/>	<input type="checkbox"/>		
Mining and smelting	<input type="checkbox"/>	<input type="checkbox"/>		
Oil and gas	<input type="checkbox"/>	<input type="checkbox"/>		
Non-Renewable Power generation	<input type="checkbox"/>	<input type="checkbox"/>		
Pulp and paper manufacturing	<input type="checkbox"/>	<input type="checkbox"/>		
Security forces, private and/or state	<input type="checkbox"/>	<input type="checkbox"/>		
Waste processing or disposal of hazardous wastes	<input type="checkbox"/>	<input type="checkbox"/>		
<p>Step 6 – Human Rights including Modern Slavery</p> <p>Does the country, sector, specific industry or company have credible evidence of human rights issues or modern slavery?</p> <ul style="list-style-type: none"> If “YES”, then the transaction may have potential environmental and social impact. 	<input type="checkbox"/>	<input type="checkbox"/>		

Screening Results

If a transaction is not identified under the screen above as “may have potential environmental and social impact”, no further action is required, and the transaction has **LOW POTENTIAL – NON-PROJECT OR BOND** for environmental and social risk. Commentary to this effect to be provided in section 2.3.2.

If a transaction is identified under the screen above as “may have potential environmental and social impact”, the transaction should be further assessed to determine the potential risk. Note that this review could still lead to the conclusion that a transaction has **Low Potential** for environmental and social impacts. Commentary on the final determination to be provided in section 2.3.2, with supporting information contained in the transaction folder and Infor. Where Export Finance Australia is supporting an SME whose export is a minor component of a larger undertaking, the export is likely to have low potential for environmental and social impacts (but could give rise to reputation risks due to association with the larger undertaking).

ATTACHMENT 2 Explanatory Guidance for Non-Project Transactions

Step 1 – Australian Goods and Services

The goods and/or services are produced in and exported from Australia (i.e. manufactured in Australia or the services are provided from Australia). Australian businesses are subject to robust environmental and social governance, legislative systems and institutional capacity, as such are considered low potential.

Step 2 – Australian Supply Chain or Tourism

As the transaction is Australian domiciled, subject to Step 6, it has low potential.

Step 3 – Existing Project or non-project but Known Destination

This question addresses whether the transaction is associated with an existing project or the ultimate destination of the commercial, industrial or infrastructure undertaking is in a known location.

Step 4 – Country Screening

The destination of the export is known and if that location is a designated country, then absent other information to the contrary, the transaction has low potential for environment and social impact.

List of countries as defined by the Equator Principles as those countries deemed to have robust environmental and social governance, legislation systems and institutional capacity designed to protect their people and the natural environment (<https://equator-principles.com/designated-countries/>). Designated Countries are:

Australia, Austria, Belgium, Canada, Chile, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea, Latvia, Lithuania, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, United Kingdom, United States

Step 5 – Industry and Sector Screening

The sector/industry list is an amalgamation of business or project types into Sectors that are known to have the potential for environmental and/or social impacts or are based on the projects/activities listed as Category A Projects in ANNEX I of the Common Approaches

([http://www.oecd.org/officialdocuments/publicdisplaydocumentpdf/?doclanguage=en&cote=tad/ecg\(2016\)3](http://www.oecd.org/officialdocuments/publicdisplaydocumentpdf/?doclanguage=en&cote=tad/ecg(2016)3)).

Step 6 – Human Rights including Modern Slavery Screening

Search country, sector, specific industry or company for identified human rights issues. If any human rights issue is identified via online searches, then undertake an appropriate assessment (websites to assist:

<https://www.globallslaveryindex.org/> or <https://www.hrw.org/> or <https://www.amnesty.org/en/> or <https://www.ohchr.org/EN/Pages/Home.aspx>).

ATTACHMENT 3 Risk Evaluation Guidance

For a (i) project or (ii) existing project, non-project or bond with **potential** for environmental and/or social impact subject to risk evaluation under Section 4. The following questions / guidance may assist the Director Environmental & Technical Review to determine the risk of the potential environmental and or social impacts in identified risk areas.

Aspect	Relevant?		Reason/Standard/source/ further comments
	Yes	No	
PS1 Assessment and Management of Social & Environmental Risks and Impacts	<input type="checkbox"/>	<input type="checkbox"/>	
Project Impact Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<i>PS1</i>
Is there an environmental and social impact assessment for the Project?	<input type="checkbox"/>	<input type="checkbox"/>	
Project Management and Monitoring	<input type="checkbox"/>	<input type="checkbox"/>	<i>PS1</i>
Is there a plan for management and monitoring potential negative environmental and or social impacts?	<input type="checkbox"/>	<input type="checkbox"/>	
Use of hazardous substances	<input type="checkbox"/>	<input type="checkbox"/>	<i>PS1</i>
What hazardous substances are used in the goods or product?	<input type="checkbox"/>	<input type="checkbox"/>	
What are the hazardous substances estimated yearly consumption?	<input type="checkbox"/>	<input type="checkbox"/>	
PS2 Labour and Working Conditions	<input type="checkbox"/>	<input type="checkbox"/>	
Modern Slavery	<input type="checkbox"/>	<input type="checkbox"/>	<i>PS2</i>
Does the project identify its human right and modern slavery risk in the direct operations and supply chain?	<input type="checkbox"/>	<input type="checkbox"/>	
Displacement of, or damage to, existing industry or agriculture	<input type="checkbox"/>	<input type="checkbox"/>	<i>PS2</i>
Are alternative jobs including appropriate training being offered?	<input type="checkbox"/>	<input type="checkbox"/>	
What groups of the society have been consulted?	<input type="checkbox"/>	<input type="checkbox"/>	
Job losses among the local population	<input type="checkbox"/>	<input type="checkbox"/>	
Are job losses expected to arise as a result of the project?	<input type="checkbox"/>	<input type="checkbox"/>	
What opportunities for re-employment or re-training are being provided?	<input type="checkbox"/>	<input type="checkbox"/>	
PS3 Resource Efficiency and Pollution Prevention	<input type="checkbox"/>	<input type="checkbox"/>	
Water pollution or extraction	<input type="checkbox"/>	<input type="checkbox"/>	<i>PS3</i>

Aspect	Relevant?		Reason/Standard/source/ further comments
	Yes	No	
Is the consumption of water or disposal of liquid effluent likely to impact on other users or environments?	<input type="checkbox"/>	<input type="checkbox"/>	
How much water will be required and where will it come from?	<input type="checkbox"/>	<input type="checkbox"/>	
How much effluent will be generated? What are the contaminants of the effluent and their concentrations?	<input type="checkbox"/>	<input type="checkbox"/>	
Local air quality	<input type="checkbox"/>	<input type="checkbox"/>	PS3
Do the goods or project produce dust or fumes? Are the sources and levels of emissions known?	<input type="checkbox"/>	<input type="checkbox"/>	
What mitigation systems will be installed?	<input type="checkbox"/>	<input type="checkbox"/>	
Climate change	<input type="checkbox"/>	<input type="checkbox"/>	PS3
What quantities of greenhouse gases will be produced? Scope 1 & 2	<input type="checkbox"/>	<input type="checkbox"/>	
What alternatives were considered to the production of greenhouse gases?	<input type="checkbox"/>	<input type="checkbox"/>	
Potential Physical impacts on project due to climate change?	<input type="checkbox"/>	<input type="checkbox"/>	
Production of damaging or toxic waste	<input type="checkbox"/>	<input type="checkbox"/>	PS3
What quantities of solid waste and secondary products are produced?	<input type="checkbox"/>	<input type="checkbox"/>	
What damaging or toxic substances are contained in the waste and in what quantities are they presented?	<input type="checkbox"/>	<input type="checkbox"/>	
What mitigation procedures have been implemented to minimise production of waste? Are measures designed for safe storage and/or disposal of waste?	<input type="checkbox"/>	<input type="checkbox"/>	
PS4 Community Health, Safety, and Security	<input type="checkbox"/>	<input type="checkbox"/>	
Noise pollution	<input type="checkbox"/>	<input type="checkbox"/>	PS4
What noise levels are expected from the process/project?	<input type="checkbox"/>	<input type="checkbox"/>	
What is the distance to closest residential/sensitive area?	<input type="checkbox"/>	<input type="checkbox"/>	
What are any mitigation measures been made proposed to reduce noise?	<input type="checkbox"/>	<input type="checkbox"/>	
PS5 Land Acquisition and Involuntary Resettlement	<input type="checkbox"/>	<input type="checkbox"/>	

Aspect	Relevant?		Reason/Standard/source/ further comments
	Yes	No	
Resettlement of the local population	<input type="checkbox"/>	<input type="checkbox"/>	PS5
Are people being moved from or excluded from the site of the project, particularly on an involuntary basis?	<input type="checkbox"/>	<input type="checkbox"/>	
How many are involved?	<input type="checkbox"/>	<input type="checkbox"/>	
How long have they lived or worked on the site?	<input type="checkbox"/>	<input type="checkbox"/>	
What is the source of this data and how reliable is it?	<input type="checkbox"/>	<input type="checkbox"/>	
Compulsory acquisition of land	<input type="checkbox"/>	<input type="checkbox"/>	PS5
Is land being acquired by or on behalf of the project company through compulsory purchase systems?	<input type="checkbox"/>	<input type="checkbox"/>	
How and by whom are the assets and resources base being valued?	<input type="checkbox"/>	<input type="checkbox"/>	
Are current inhabitants/users being offered alternative land or cash or both?	<input type="checkbox"/>	<input type="checkbox"/>	
PS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources	<input type="checkbox"/>	<input type="checkbox"/>	
Damage to wildlife or habitats	<input type="checkbox"/>	<input type="checkbox"/>	PS6
Is a change of land use necessary e.g. agricultural to industrial or mining?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the project involve the clearance of land?	<input type="checkbox"/>	<input type="checkbox"/>	
What is the present use of land?	<input type="checkbox"/>	<input type="checkbox"/>	
Are any compensating offsets planned e.g. provision of greenbelt areas?	<input type="checkbox"/>	<input type="checkbox"/>	
Degradation of land (e.g. soil contamination, erosion, salinisation)	<input type="checkbox"/>	<input type="checkbox"/>	PS6
What steps will be taken to ensure that land degradation is avoided, e.g. bunding of tanks and other measures to prevent spillage?	<input type="checkbox"/>	<input type="checkbox"/>	
What plans are there or site restoration after the project has closed?	<input type="checkbox"/>	<input type="checkbox"/>	
PS7 Indigenous Peoples	<input type="checkbox"/>	<input type="checkbox"/>	
Impact on minority or vulnerable communities	<input type="checkbox"/>	<input type="checkbox"/>	PS7

Aspect	Relevant?		Reason/Standard/source/ further comments
	Yes	No	
Does the project have a disproportionate effect on national, ethnic or religious minority communities or other vulnerable groups in the country concerned?	<input type="checkbox"/>	<input type="checkbox"/>	
PS8 Cultural Heritage	<input type="checkbox"/>	<input type="checkbox"/>	
<i>Damage to sites of cultural, historic, religious or scientific interest</i>	<input type="checkbox"/>	<input type="checkbox"/>	<i>PS8</i>
Does the project affect important sites?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the site near to a recognised World Heritage site?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the site situated on or near to a sensitive area?	<input type="checkbox"/>	<input type="checkbox"/>	

ATTACHMENT 4: Examples of E&S RISK Indicators for transaction with Potential for E&S Impacts.

EXAMPLES OF TRANSACTION CHARACTERISTICS*	ASSESSMENT	LIKELY E&S RISK RANGE	RESULT
<ul style="list-style-type: none"> ESIA publicly available MLFI(s) are supporting the Project Project located in a Designated country No adverse information from internet search Not in a sensitive area Not an industry sector of potential concern No Modern Slavery risk 	Satisfies Export Finance's benchmark	LOW to MODERATE	Transaction subject to normal delegations.
<ul style="list-style-type: none"> Aware that an ESIA exists, but not available to Export Finance (either publicly or through client) Support provided by other OECD ECAs or EPFI's No adverse information from internet searches Not in a sensitive area Country where E&S standards are legislated with acceptable implementation 	Likely to meet Export Finance's benchmark but only indirect information available to support this view.	LOW to HIGH	If risk LOW or MODERATE transaction subject to normal delegations. Refer to Export Finance Executive if risk greater than MODERATE.
<ul style="list-style-type: none"> Aware that an ESIA exists, but not available to Export Finance (either publicly or through client) No other EPFI, MLFI or OECD ECAs involved Not in a Designated country Country where E&S standards are legislated but poor implementation Limited adverse information from internet search Not in a sensitive area 	<ul style="list-style-type: none"> Lack of information limits E&S assessment. Unlikely to meet Export Finance's benchmark 	HIGH to EXTREME.	Refer to Export Finance Executive.
<ul style="list-style-type: none"> No evidence that an ESIA was prepared No other EPFI, MLFI or OECD ECAs involved Not in a Designated country Country where little E&S legislation exists Adverse information from internet search and CSO/NGO negative reports Project located in a sensitive area 	Cannot meet Export Finance's benchmark	EXTREME	Refer to Export Finance Executive.

* Not all the listed examples need to apply to a transaction