

**TRADE AND AGRICULTURE DIRECTORATE  
TRADE COMMITTEE**

**Working Party on Export Credits and Credit Guarantees**

**EXPORT CREDITS: ENVIRONMENTAL AND SOCIAL SURVEY**

This document contains the Environmental and Social Survey of policies and procedures for addressing the potential environmental and social impacts of projects for which official export credits support is requested. The Survey reflects, *inter alia*, the provisions of the 2016 version of the Recommendation of the Council on Common Approaches for Officially Supported Export Credits and Environmental and Social Due Diligence [TAD/ECG(2016)3 refers].

Members of the Working Party on Export Credits and Credit Guarantees (ECG) are invited to complete this Survey by Friday 30 November 2018 and, thereafter, to ensure that their responses remain up-to-date, at a minimum, on an annual basis. Members' responses to this Survey will be made publicly available on the OECD website.

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## *EXPORT CREDITS: ENVIRONMENTAL AND SOCIAL SURVEY*

### **1. GENERAL PRINCIPLES**

#### **1.1. Objectives**

1. Please describe the policies and procedures that you have established to support the objectives of the Recommendation. Please include details about your organisational structure, the operational process and supporting tools.
2. Please provide a link to the environmental and social due diligence page of your institution's website.

### **2. SCREENING**

#### **2.1. Exemptions**

3. Are all applications (apart from those related to military equipment and agricultural commodities) screened? If no: please provide details of any exemptions from screening, including:
  - (a) value of any threshold used;
  - (b) details of any products exempt from screening; and
  - (c) details of any other exemptions from screening.

#### **2.2. Information requirements**

4. What information is required for the screening process?

#### **2.3. Responsibility for screening**

5. Who is responsible for screening applications?

#### **2.4. Screening policies**

6. Do you have policies and procedures in place to identify exports of capital goods and services destined to:
  - (a) Projects or to existing operations as defined in the Recommendation? If yes, please provide details.
  - (b) Identified locations that are in or near sensitive areas? If yes, please provide details.
  - (c) Undertakings where there may be a high likelihood of severe project-related human rights impacts occurring? If yes, please provide details.

## 2.5. Classification system

7. Do you classify applications described in paragraph 8 of the Recommendation? If yes, how do you classify such applications?
8. Do you classify applications described in paragraph 9 of the Recommendation? If yes, how do you classify such applications?

## 3. CLASSIFICATION

### 3.1. Overall policies and procedures

9. Do you have policies and procedures in place to identify the potential positive and negative environmental and social impacts relating to the applications to be classified? If yes, please provide details, including any specific tools employed.

### 3.2. Responsibility for classification

10. Who is responsible for the classification of applications?

## 4. ENVIRONMENTAL AND SOCIAL REVIEW

### 4.1. Scope and criteria

11. Do you have policies and procedures in place for deciding when to complement the environmental and social review with specific human rights due diligence? If yes, please provide details.
12. Do you have policies and procedures in place for reviewing projects when supporting exports forming only a minor part of a project [*i.e.* co-insuring / financing with another Export Credit Agency (ECA), Multilateral Financial Institution (MFI) or development agency] or in re-insurance situations? If yes, please provide details.
13. Do you have policies and procedures in place for assessing, where appropriate, the potential environmental and/or social impacts of any associated facilities? If yes, please provide details.
14. Do you have policies and procedures in place for considering, where appropriate, any statements or reports from your National Contact Point (NCP)? If yes, please provide details.

### 4.2. Category A projects

15. Under paragraph 18 of the Recommendation, Members should require an Environmental and Social Impact Assessment (ESIA) to be undertaken for Category A projects. Are there any circumstances in which you might accept to review a Category A project for which an ESIA has not been undertaken or for which either an ESIA report is

not available for review or does not adequately address all the issues set out in Annex II of the Recommendation? If yes, please provide details, including the type of information that you would require in the absence of a (complete) ESIA.

### 4.3. Category B projects

16. The scope of a review for Category B projects may vary from project to project. Please provide details of your general approach to reviewing Category B projects, including the type of information required under your policies and procedures.

### 4.4. Responsibility for review

17. Who is responsible for undertaking the environmental and social review?

### 4.5. Standards for benchmarking projects

18. How do you seek assurance that a project is compliant with host country standards?

19. Paragraphs 21-22 of the Recommendation set out the general circumstances in which various international standards should be used for the purposes of evaluating the potential environmental and social impacts of projects. Please provide details of when, in practice, you would use the following international standards:

- (a) World Bank Safeguard Policies (or Environmental and Social Standards).
- (b) International Finance Corporation (IFC) Performance Standards.
- (c) Multilateral Financial Institution (MFI) standards.

20. When benchmarking projects against the World Bank Safeguard Policies, do you have policies and procedures in place for deciding when to refer to relevant aspects of supplementary standards and source of guidance to ensure an adequate coverage of certain potential social impacts? If yes, please provide details.

21. Do you have policies and procedures in place for dealing with cases where projects do not meet the international standards or guidelines against which they have been benchmarked? If yes, please provide details.

### 4.6. Site visits

22. Please specify the circumstances in which you might carry out a site visit as part of the review process.

## 5. EVALUATION, DECISION AND MONITORING

### 5.1. Providing official support

23. Who is responsible for deciding whether to decline or provide official support and, in the event that support is to be provided, whether this should involve conditions to fulfil?

24. Under what circumstances would you consider denying support on account of the environmental and social impacts of a project? Please provide details and any examples of experience.

## 5.2. Conditions to official support

25. How are environmental and/or social conditions to be fulfilled prior to, or after, the final commitment for official support incorporated into documentation? Please provide details and examples of any environmental and/or social conditions used.

## 5.3. Monitoring

26. Do you have policies and procedures in place for monitoring, as appropriate, the implementation of a project to ensure compliance with the conditions of your official support? If yes, please provide details, including types of projects, monitoring frequency/period and content.

27. Who is responsible for undertaking monitoring of projects, including, if appropriate, making site visits, reviewing monitoring reports, deciding on compliance, etc.?

## 5.4. Non-compliance measures

28. What actions are available to you in cases where monitoring reveals that conditions are not being complied with? Please provide any examples of experience.

## 5.5. Disclosure of monitoring reports

29. In what circumstances do you encourage project sponsors to make *ex post* monitoring reports and related information publicly available? In what circumstances, if any, does your ECA require project sponsors to make such information publicly available or itself seek to make such information publicly available?

# 6. EXCHANGE AND DISCLOSURE OF INFORMATION

## 6.1. Environmental and social procedural guidance

30. Have you published national ECA environmental and other related policy statements or principles and procedural guidance?

## 6.2. Exchanging information

31. Do you have policies and procedures in place for exchanging information with other ECAs and MFIs? If yes, please provide details for co-insuring/co-financing situations and for competitive situations.

### 6.3. *Ex ante* disclosure of project information

32. Please provide details of your policies and procedures for disclosing publicly information on Category A projects before a final commitment to grant official support, including:

- (a) scope and content of information released;
- (b) language of the information released;
- (c) method of disclosure;
- (d) minimum number of days the information should be made available prior to commitment; and
- (e) details of any circumstances in which project information relating to Category A projects is not disclosed prior to commitment.

### 6.4. *Ex ante* disclosure of environmental and social impact information

33. Please provide details of your policies and procedures for requiring that environmental and social impact information on Category A projects be made publicly available before a final commitment to grant official support, including:

- (a) scope and content of information that should be released;
- (b) language of the information released;
- (c) method of disclosure;
- (d) minimum number of days the information should be made available prior to commitment; and
- (e) details of any circumstances in which environmental and social impact information relating to Category A projects is not disclosed prior to commitment.

### 6.5. *Ex post* disclosure

34. Please provide details of your policies and procedures for making available to the public information on projects classified in Category A and Category B for which you have made a final commitment to provide official support, including:

- (a) scope and content of information released;
- (b) language of the information released;
- (c) method of disclosure;
- (d) how often *ex post* information on projects classified in Category A and Category B is made publicly available;
- (e) how long the information remains in the public domain; and
- (f) details of any circumstances in which information on Category A and Category B projects is not disclosed after a final commitment is made.

35. Do you report and/or disclose publicly information on supported projects that do not meet the relevant aspects of the international standards against which they have been benchmarked? If yes, please provide details.

## 7. REPORTING AND MONITORING OF THE RECOMMENDATION

### 7.1. Accountability of your guidelines

36. Do you have appropriate measures and mechanisms in place to ensure compliance with your policies and procedures? If yes, please provide details.

### 7.2. Monitoring and evaluation

37. Do you have any policies and procedures in place for monitoring and evaluating your experience of the Recommendation at a national level? If yes, please provide details.

### 7.3. Sharing information

38. Do you have policies and procedures in place for sharing experiences with other Members? If yes, please provide details.

### 7.4. Revisions of due diligence procedures

39. Please provide the following information:
- (a) When was the last review or update of your due diligence procedures conducted?
  - (b) What was the motivation for the last review or update of your due diligence procedures?
  - (c) Are any modifications foreseen in the near future? If yes, please provide details.

### 7.5. Resources

40. How many dedicated Practitioners work for your institution?

### 7.6. Reporting

41. How frequently do you report *ex post* to the Working Party on Export Credits and Credit Guarantees (ECG), in accordance with paragraph 41 of the Recommendation, all Category A and Category B projects for which a final commitment has been issued?

42. Do you produce any reports on environmental and social issues in addition to those required by the Recommendation? If yes, please provide details.

### 7.7. Additional measures

43. Have you adopted any additional measures for undertaking due diligence, consistent with the overall objectives of the Recommendation? If yes, please provide details.

### 7.8. Applications not classified

44. Do you have policies and procedures in place for assessing the environmental and social risks associated with existing operations, including reviewing potential impacts and benchmarking against international standards? If yes, please provide details.

45. Do you have policies and procedures in place for assessing the environmental and social risks associated with undertakings where there may be a high likelihood of severe project-related human rights impacts occurring? If yes, please provide details.

46. Do you have policies and procedures in place for addressing environmental and social issues relating to exports of capital goods and/or services that are not destined to identified locations? If yes, please provide details.

### **7.9. Applications not covered by the Recommendation**

47. Do you have policies and procedures in place for addressing the environmental and social issues relating to exports of capital goods and/or services and the locations to which these are destined for officially supported export credits not covered by the scope of the Recommendation, *i.e.* with a repayment term of less than two years, for military equipment and agricultural commodities, for any applications exempt from screening as reported under Q3, etc.? If yes, please provide details.

## **8. ADDITIONAL COMMENTS**

48. Please provide any additional comments.