

Guide for Filling in the Questionnaires – Environmental and Social Assessment Procedure

Project and Client Analyses, valid as of April 2016

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Questionnaires

Sector-specific Environmental and Social Review Questionnaires are available for

- Dams and Hydro Power
- Thermal Power
- Iron and Steel
- Pulp and Paper
- Miscellaneous (for all other sectors)

1. Filling in the Questionnaires

Aspects [1], [2], [3] and [4] are general instructions. Aspects [5], [6] and [7] are related to specific paragraphs in the questionnaire and indicated at the relevant question.

1. In addition to providing answers as detailed and accurate as possible it is highly advised to attach as many as possible studies, documents, maps, permits or any other form of information relating to the questions. This will enhance the evaluation of the project and minimise subsequent further questions thereby saving time and costs.
2. Please check if the project qualifies for Type I procedure Category A according to OeKB's "Environmental and Social Assessment Procedure 2012". In this case please submit the Environmental and Social Impact Assessment Report (ESIA; either in English or German) and make reference to the specific sections of the ESIA when completing this questionnaire.
3. In assessing the project's environmental and social impacts, the full project, including the supply chain, should be regarded. If not feasible, provide information on impacts of the biggest relevant project entity, but at least of supplied units or partial investments.
4. Please note that the level of detail of the assessment should be particularly high for applications under Type I procedure, whereas it may be lower under the Type II procedure.
5. Please describe if the project is greenfield, modernisation and/or capacity increase of an existing facility. If the applied set of goods and services is only a part of a larger investment (e.g. irrigation pumps for a large agricultural project) information is required about the full project or the full production facility to where the smaller investment belongs.
6. Assessing the project's potential to generate emissions:
 - As a rule, provide overall ("at the fence") emission levels of the full site; if the project comprises a single unit in it, the emission levels relating only to the unit in question should be given in addition. Report projected emissions figures for the operations phase of the project. Typical operating figures might demonstrate a better average environmental performance than the guaranteed maximum levels in the supply contract.
 - Use appropriate units and indicate units within cells.
 - Report projected annual emissions during the operations phase of projects (in t/a or g/kWh in case of power plants), where such emissions are projected to be in excess of 25,000 tonnes CO₂-equivalent annually and where such information is available (typically from an ESIA).
 - Abbreviations:
 - OD Biological Oxygen Demand
 - COD Chemical Oxygen Demand
 - TSS Total Suspended Solids

- TSP Total Suspended Particulates
 - TRS Total Reduced Sulfur Compounds
 - AOX Adsorbable Organic Halides
 - PM Particulate Matter
 - GHG Greenhouse Gases
7. Regarding information on project location and environmental protection, more detailed information on this subject can be found on the following Websites like: UN List of Protected Areas, World Biosphere Reserves, World Heritage Cultural Sites, World Bank Safeguard Policy Indigenous People, Ramsar Convention, Protected Planet and IFC PS 6 (see Chapter 5 “Links”)
8. Please refer to the IFC Performance Standards, especially IFC Performance Standard 2 inclusive Guidance Note 2, or to the relevant World Bank Safeguard Policies for definitions and information required (see Chapter 2 “Definitions” and Chapter 5 “Links”).

2. Definitions

The following terms shall have the meaning set out below¹:

- **“Associated facilities”** are those facilities that are not a component of the project but that would not be constructed or expanded if the project did not exist and on whose existence the viability of the project depends; such facilities may be funded, owned, managed, constructed and operated by the buyer and/or project sponsor or separately from the project.
- **“Due diligence”** is the process through which Members identify, consider and address the potential environmental and social impacts and risks relating to applications for officially supported export credits as an integral part of their decision-making and risk management systems.
- **“EHS Guidelines”** refers to the World Bank Group Environmental, Health and Safety Guidelines: these are technical reference documents with general and industry sector performance levels and measures that are normally acceptable to the World Bank Group and that the World Bank Group generally considers to be achievable in new undertakings at reasonable costs by existing technology.
- **“Environmental impacts”** are the impacts on the environment as a result of the activities of an existing operation or of the construction and/or operation of a project.
- **“Existing operations”** refer to applications relating to exports of capital goods and/or services to an identified location where there is an existing undertaking that is undergoing no material change in output or function.
- **“IFC Performance Standards”** refers to the following Performance Standards of the International Financial Corporation (IFC):
 - Assessment and Management of Environmental and Social Risks and Impacts (PS1)
 - Labor and Working Conditions (PS2)
 - Resource Efficiency and Pollution Prevention (PS3)
 - Community Health, Safety, and Security (PS4)
 - Land Acquisition and Involuntary Resettlement (PS5)
 - Biodiversity Conservation and Sustainable Management of Living Natural Resources (PS6)
 - Indigenous Peoples (PS7)
 - Cultural Heritage (PS8)
- **“Major Multilateral Financial Institutions”** are the African Development Bank, the Asian Development Bank, the European Bank for Reconstruction and Development, the European Investment Bank, the Inter-American Development Bank, the International Bank for Reconstruction and Development, the International Finance Corporation, and the Multilateral Investment Guarantee Agency.

¹ Based on 2016 Common Approaches TAD/ECG(2016)3

— **“Projects”** refer to applications relating to exports of capital goods and/or services to an identified location of:

- any new commercial, industrial or infrastructure undertaking, or
- any existing undertaking that is undergoing material change in output or function, which may result in changes to the operation’s environmental and/or social impacts.

For the purposes of screening, classification and review, a project includes those components that the buyer and/or project sponsor (including contractors) directly owns, operates or manages and that are physically and technically integrated with the undertaking.

— **“Sensitive areas”** include National Parks and other protected areas identified by national or international law, and other sensitive locations of international, national or regional importance, such as wetlands, forests with high biodiversity value, areas of archaeological or cultural significance, and areas of importance for indigenous peoples or other vulnerable groups.

— **“Social impacts”** are the impacts on the local communities directly affected by, and on the people involved in, the activities of an existing operation or the construction and/or operation of a project; these social impacts encompass relevant adverse project-related human rights impacts.

— **“World Bank Safeguard Policies”** refers to the safeguard policies relating to:

- Environmental Assessment (OP 4.01)
- Natural Habitats (OP 4.04)
- Pest Management (OP 4.09)
- Indigenous Peoples (OP 4.10)
- Physical Cultural Resources (OP 4.11)
- Involuntary Resettlement (OP 4.12)
- Forests (OP 4.36)
- Safety of Dams (OP 4.37)
- International Waterways (OP 7.50)
- Disputed Areas (OP 7.60).

3. Illustrative List of Category A Projects

The following is an illustrative list containing examples of the types of new projects and major expansion projects that may be classified as Category A; however, in practice, classification should be undertaken in accordance with the potential environmental and/or social impacts of each project.

1. Crude oil refineries (excluding undertakings manufacturing only lubricants from crude oil) and installations for the gasification and liquefaction of 500 tonnes or more of coal or bituminous shale per day.
2. Thermal power stations and other combustion installations (including cogeneration) with a heat output of not less than 300 megawatts (equivalent to a gross electrical output of 140 MWe for steam and single cycle gas turbines power stations) and nuclear power stations and other nuclear reactors, including the dismantling or decommissioning of such power stations or reactors (except research installations for the production and conversion of fissionable and fertile materials, whose maximum power does not exceed 1 kilowatt continuous thermal load).
3. Installations designed for the production, or enrichment of nuclear fuels, the reprocessing, storage or final disposal of irradiated nuclear fuels, or for the storage, disposal or processing of radioactive waste.
4. Integrated works for the initial smelting of cast-iron and steel, e.g. installations for the production of primary steel by blast furnace route or direct reduction; installations for the production of non-ferrous crude metals from ore, concentrates or secondary raw materials by metallurgical, chemical or electrolytic processes.
5. Installations for the extraction of asbestos and for the processing and transformation of asbestos and products containing asbestos: for asbestos-cement products, with an annual production of more than 20,000 tonnes finished product; for friction material, with an annual production of more than 50 tonnes finished product; and for other asbestos utilisation, of more than 200 tonnes per year.
6. Installations for the manufacture and/or recovery of chemicals (including but not limited to petrochemicals, fertilisers, pesticides & herbicides, health care products, detergents, paints, adhesives, agro-chemicals, pharmaceuticals, explosives) on an industrial scale using physical, chemical and/or biochemical processes and for large scale distribution of such chemicals via pipelines/terminals and associated facilities.
7. Construction of airports with a basic runway length of 2,100 metres or more.
8. Construction of motorways and express roads.
9. Construction of a new road, or realignment and/or widening of an existing road, where such new road, or realigned and/or widened section of road, would be 10 km or more in a continuous length.
10. Construction of railway lines that go beyond urban areas and of long-distance railway lines.

11. Sea ports and also inland waterways and ports for inland-waterway traffic which permit the passage of vessels of over 1,350 tonnes; trading ports, piers for loading and unloading connected to land and outside ports (excluding ferry piers) which can take vessels of over 1,350 tonnes.
12. Waste-processing and disposal installations for the incineration, chemical treatment or landfill of hazardous, toxic or dangerous wastes.
13. Large² dams and other impoundments designed for the holding back or permanent storage of water.
14. Groundwater abstraction activities or artificial groundwater recharge schemes in cases where the annual volume of water to be abstracted or recharged amounts to 10 million cubic metres or more.
15. Industrial plants for the production of pulp, paper and board from timber or similar fibrous materials.
16. Operations that involve large scale extraction, via underground or open-pit mining, solution mining, or marine or riverine operations to obtain precious metals, base metals, energy and industrial minerals, or construction materials. It may also include the processing of the extracted material.
17. Greenfield cement plants where the project includes a greenfield quarry.
18. Large scale oil, gas, or liquefied natural gas development that may include any or all of:
 - exploration (seismic and drilling);
 - field development and production activities;
 - transport activities, including pipelines/terminals, pump stations, pigging stations, compressor stations and associated facilities; or
 - gas liquefaction facilities.
19. Installations for storage of petroleum, petrochemical, or chemical products with a capacity of 200,000 tonnes or more.
20. Large-scale logging.
21. Municipal waste water treatment plants with a capacity exceeding 150,000 population equivalent.
22. Municipal solid waste-processing and disposal facilities.
23. Large-scale tourism and retail development.
24. Construction of overhead electrical power transmission lines with a length of 15 km or above and a voltage of 110 kV or above.
25. Large-scale land reclamation.
26. Large-scale primary agriculture/sylviculture involving intensification or conversion of natural habitats.
27. Plants for the tanning of hides and skins where the treatment capacity exceeds 12 tons of finished products per day.

² As per the definition of the International Commission on Large Dams (ICOLD). ICOLD defines a large dam as a dam with a height of 15 m or more from the foundation. Dams that are between 5 and 15 m high and have a reservoir volume of more than 3 million m³ are also classified as large dams.

28. Installations for the intensive rearing of poultry or pigs with more than: 40,000 places for poultry; 2,000 places for production pigs (over 30 kg); or 750 places for sows.
29. Projects which are planned to be carried out in sensitive locations or are likely to have a perceptible impact on such locations, even if the project category does not appear in the above list. Such sensitive locations include National Parks and other protected areas identified by national or international law, and other sensitive locations of international, national or regional importance, such as wetlands, forests with high biodiversity value, areas of archaeological or cultural significance, and areas of importance for indigenous peoples or other vulnerable groups.
30. Projects which may result in significant adverse social impacts to local communities or other project affected parties, including those involved in the construction and/or operation of the project.
31. Projects involving land acquisition and involuntary resettlement of a significant number of affected people.

Notes

- In addition to the OECD list above, other types of projects, which are not considered in the list e.g. the ones involving genetically modified organisms (GMOs) might be considered as Category A by OeKB.
- Some items on the list above are contained there for completeness sake only, as they are not eligible for cover under the official Austrian Export Guarantee Program, such as military goods or any items for nuclear technology.

4. Environmental and Social Impact Assessment Report

An Environmental and Social Impact Assessment (ESIA) report focuses on the significant issues of a project. The report's scope and level of detail should be commensurate with the project's potential impacts and risks, and should address the issues set out in the international standards applied to the project in accordance with paragraphs 21-26 of this Recommendation. The ESIA report typically includes the following items (not necessarily in the order shown)³:

1. **Non-technical executive summary:** concisely discusses significant findings and recommended actions in lay language.
2. **Policy, legal, and administrative framework:** discusses the policy, legal, and administrative framework within which the Assessment is carried out, including host country regulations, including obligations implementing relevant international social and environmental treaties, agreements, and conventions, the international standards applied to the project, as well as any additional priorities and objectives for social or environmental performance identified by the buyer/project sponsor. Explains the environmental requirements of any co-financiers.
3. **Project description:** concisely describes the proposed project and its geographic, ecological, social, health and temporal context, including any additional project components that may be required (e.g. dedicated pipelines, access roads, power plants, water supply, housing, and raw material and product storage facilities). Encompasses facilities and activities by third parties that are essential for the successful operation of the project. Normally includes maps showing the project site and the project's area of influence.
4. **Baseline data:** assesses the dimensions of the study area and describes relevant physical, biological, socioeconomic, health and labour conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section indicates the accuracy, reliability, and sources of the data.
5. **Environmental and Social impacts:** predicts and assesses the project's likely positive and negative impacts, in quantitative terms to the extent possible. Identifies mitigation measures and any residual negative impacts that cannot be mitigated. Explores opportunities for enhancement. Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions, and specifies topics that do not require further attention. Evaluates impacts and risks from associated facilities and other third party activities. Examines global, transboundary, and cumulative impacts as appropriate.

³ This Annex is based on the IFC Guidance Notes: Performance Standards on Social and Environmental Sustainability of 31 July 2007. The text has been adapted by the OECD Export Credits Group (see Annex II of the Common Approaches).

6. **Analysis of Alternatives:** compares reasonable alternatives to the proposed project site, technology, design, and operation in terms of their potential environmental and social impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. States the basis for selecting the particular project design proposed and justifies recommended emission levels, including where relevant for greenhouse gases, and approaches to pollution prevention and abatement.
7. **Management Programme:** consists of the set of mitigation and management measures to be taken during implementation of the project to avoid, reduce, mitigate, or remedy for adverse social and environmental impacts, in the order of priority, and their timelines. May include multiple policies, procedures, practices, and management plans and actions. Describes the desired outcomes as measurable events to the extent possible, such as performance indicators, targets or acceptance criteria that can be tracked over defined time periods, and indicates the resources, including budget, and responsibilities required for implementation. Where the buyer/project sponsor identifies measures and actions necessary for the project to comply with applicable laws and regulations and to meet the international standards applied to the project, the management programme will include an Action Plan, which is subject to disclosure to the affected communities and on-going reporting and updating.
8. **Appendices:**
 - List of ESIA report preparers – individuals and organisations.
 - References – written materials, both published and unpublished, used in study preparation.
 - Record of interagency and consultation meetings, including consultations for obtaining the informed views of the affected communities and/or their legitimate representatives and other interested parties, such as civil society organisations. The record specifies any means other than consultations (e.g. surveys) that were used to obtain the views of affected groups.
 - Tables presenting the relevant data referred to, or summarised in, the main text.
 - Associated reports, audits, and plans (e.g. Resettlement Action Plan or Indigenous Peoples/ Natural Resource Dependent Community plan, community health plan).
 - Action Plan that (i) describes the actions necessary to implement the various sets of mitigation measures or corrective actions to be undertaken, (ii) prioritises these actions, (iii) includes the timeline for their implementation, and (iv) describes the schedule for communicating with affected communities when on-going disclosure or consultation is expected.

5. Links

Convention on the Conservation of European Wildlife and Natural Habitats

Development Assistance Committee (DAC)'s Guidelines

EBRD Environmental Policy

Environmental Health and Safety Guidelines (EHS)

Equator Principles Financial Institutions

European Commission Standards/BREFs

IFC Performance Standards

International Hydropower Association

IUCN Red List of Threatened Species

OECD Guidelines for Multinational Enterprises

OeKB Environmental and Social Aspects

Protected Planet

Ramsar Convention

Recommendation of the Council on Common Approaches for Officially Supported Export Credits and Environmental and Social Due Diligence (The "Common Approaches" TAD/ECG(2016)3)

Austrian Sustainability Policy for Officially Supported Export Credits (in German)

UN List of Protected Areas

World Bank Safeguard Policies

World Biosphere Reserves

World Commission on Dams

World Heritage Cultural Sites

oeKB

Export
Services

