

## Printable version of CDC'S ESG Toolkit for Financial Institutions

Each part of the Toolkit can be downloaded as a PDF by clicking 'Download page' on the right-hand side of the relevant page.

### CDC policies, checklists, templates and guidance

- [CDC policies](#)
  - [CDC's Code of Responsible Investing](#)
  - [CDC's Climate Change Strategy](#)
  
- [CDC checklists](#)
  - [CDC's environmental and social checklist](#)
  - [CDC's environmental and social screening checklist](#)
  - [CDC's environmental and social Risk Assessment Form](#)
  
- [CDC templates](#)
  - [E&S Action Plan Template](#)
  - [Client E&S Site Vist Report Template](#)
  - [Credit Committee E&S Input Template](#)
  - [Serious Accident Reporting Template](#)
  - [Environmental and social management system structure](#)
  - [Internal Portfolio ES Monitoring Reporting Template](#)

- [Guidance and ToRs for Human Rights Due Diligence](#)
- [Annual Monitoring Report Template](#)
- [Role of the Money Laundering Reporting Officer](#)
- [E&S Manager Job Description](#)
- [E&S Committee Template](#)
- [ToRs for consultants ES Due Diligence](#)
  
- [CDC guidance](#)
  - [CDC Guidance Note: Heavy Fuel Oil Fired Power Plants](#)
  - [CDC Good Practice: Preventing Fatalities and Serious Accidents](#)
  - [CDC Good Practice: Environmental and social due diligence: mitigating risks, identifying opportunities](#)
  - [CDC Guidance: Adding value in healthcare](#)
  - [CDC Toolkit on ESG for Fund Managers \(2010 - Historical version\)](#)
  - [CDC Guidance: Mapping Gender Risks and Opportunities for Investors in Africa and South Asia](#)
  - [CDC Good Practice for the private sector: Social Risk Management in Ethiopia](#)
  - [CDC Guidance: Managing a Remote Workforce during COVID-19](#)
  - [CDC Guidance: COVID-19 Guidance for Investors and FIs on Job Protection](#)
  - [CDC Guidance: COVID-19 and Business Integrity](#)
  - [CDC Guidance: Human Resources Management Assessment Tool](#)

- [CDC Guidance: Disability Inclusion Guidance Note for CDC Investee Companies](#)
- [CDC Guidance: Disability Inclusion Guidance Note for CDC Investee Companies \(accessible format\)](#)
- [CDC Guidance: Environmental & Social Management System Structure](#)
- [Terms of References for Consultants E&S Due Diligence](#)

### **Co-authored guidance**

- [A good practice note for the private sector: Managing risks associated with modern slavery](#)
- [Brochure: Modern Slavery Risk in Private Sector Investments](#)
- [Private equity's role in delivering the SDGs: Current approaches and good practice](#)
- [Investments in the Agricultural Value Chain: Expanding the Scope of Environmental and Social Due Diligence](#)
- [Private Equity and Emerging Markets Agribusiness: Building Value Through Sustainability](#)
- [A guidance note on managing legacy land issues in agribusiness investments](#)
- [CDC Good Practice Note on Electrical Power Transmission and Distribution: Health, Safety and Security](#)

## **International standards and conventions**

- [International Finance Corporation \(IFC\) Performance Standards](#)
  - [IFC 2012 Performance Standards](#)

- [IFC 2012 Guidance Notes](#)
  
- [World Bank Group Environmental, Health and Safety \(EHS\) Guidelines](#)
  - [The World Bank Group EHS Guidelines](#)
  
- [International conventions, recommendations and guidance](#)
  - a) Environmental:**
    - [The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal \(1992\)](#)
    - [The Convention on International Trade in Endangered Species of Wild Flora and Fauna \(CITES\) \(1973\)](#)
    - [The Montreal Protocol on Substances that Deplete the Ozone Layer \(1999\)](#)
    - [The UN Framework Convention on Climate Change \(UNFCCC\) \(1994\)](#)
    - [The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade \(2004\)](#)
    - [The Stockholm Convention on Persistent Organic Pollutants \(2004\)](#)
    - [The Kyoto Protocol \(2005\)](#)

**b) Social:**

The ILO Fundamental Conventions:

- [Freedom of Association and Protection of the Right to Organise Convention, 1948 \(No. 87\)](#)

- [Right to Organise and Collective Bargaining Convention, 1949 \(No. 98\)](#)
- [Forced Labour Convention, 1930 \(No. 29\)](#)
- [Abolition of Forced Labour Convention, 1957 \(No. 105\)](#)
- [Minimum Age Convention, 1973 \(No. 138\)](#)
- [Worst Forms of Child Labour Convention, 1999 \(No. 182\)](#)
- [Equal Remuneration Convention, 1951 \(No. 100\)](#)
- [Discrimination \(Employment and Occupation\) Convention, 1958 \(No. 111\)](#)
- [Table of ratifications of the fundamental conventions](#)

International guidance:

- [UN Guiding Principles on Business and Human Rights](#)

Other conventions:

- [Hours of Work \(Industry\) Convention, 1919 \(No. 1\)](#)

**c) Anti-corruption:**

- [The UN Convention against Corruption \(2005\)](#)
- [The OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions \(2007\)](#)
- [OECD Recommendation for Further Combating Bribery of Foreign Public Officials in International Business Transactions \(2009\)](#)
- [The UK Proceeds of Crime Act \(2002\)](#)
- [The UK Bribery Act \(2010\)](#)

- [The UK Money Laundering, Terrorist Financing and Transfer of Funds \(Information on the Payer\) Regulations \(2017\)](#)
- [The US Foreign Corrupt Practices Act \(1977\)](#)

## Other E&S toolkits for FIs

- [Other E&S toolkits for FIs](#)
  - [IFC - First for Sustainability](#)
  - [FMO - Environmental, Social and Governance Toolkits](#)
  - [DEG's E-learning Platform](#)
  - [United Nations Environmental Programme Finance Initiative \(UNEPFI\) Resources](#)
  - [CDC's Gender Toolkit](#)
  - [A Toolkit for long Term sustainable investment mandates](#)
  - [IFC's Global Map of Environmental and Social Risks in Agro-Commodity Production \(GMAP\)](#)
- [Environmental](#)
  - [Climate Assessment for Financial Institutions](#)
  - [Think Hazard!](#)
  - [Task Force on Climate-Related Financial Disclosures \(TCFD\) Knowledge Hub](#)
  - [The World Bank's Climate Change Knowledge Portal](#)

- [The Water Risk Filter - WWF](#)
  
- [Social](#)
  - [Human Rights Guidance Tool for the Financial Sector](#)
  
- [Other](#)
  - [Codex Alimentarius \(food safety\)](#)
  - [OECD Guidelines for multinational enterprises](#)
  - [The SMART Campaign Client Protection Principles](#)
  - [IFC Environmental and Social Management System Implementation Handbook](#)

## **Responsible investment codes, principles and guidelines**

- [Responsible investment codes, principles and guidelines](#)
  - [The United-Nations supported Principles for Responsible Investment](#)
  - [The Equator Principles](#)
  - [UNEP-FI Principles for Responsible Banking](#)
  - [A sustainable and responsible investment guide for central banks' portfolio management](#)

## Associations and networks

- [Associations and networks](#)
  - [Sustainable Banking Network](#)
  - [Principles for Responsible Banking](#)
  - [The Network of Central Banks and Supervisors for Greening the Financial System](#)
  - [Partnership for Carbon Accounting Financials](#)

## Business Integrity Resources

- [Business Integrity Resources](#)
  - [Risk & Compliance Portal](#)
  - [The Extractive Industries Transparency Initiative \(EITI\)](#)
  - [The Financial Action Task Force](#)
  - [The International Accounting Standards Board and the International Financial](#)
  - [The OECD Principles of Corporate Governance](#)
  - [The DFI Toolkit on Corporate Governance \(IFC\)](#)
  - [Transparency International's Corruption Perceptions Index](#)
- [General Financial Crime](#)
  - [Wolfsberg Frequently Asked Questions on Risk Assessments for Money Laundering, Sanctions and Bribery & Corruption, 2014.](#)



- [FAFT's Guidance for a Risk-Based Approach in the Banking Sector, 2014](#)
- [The UK'S FCA Financial Crime Guide: A firm's guide to countering financial crime risks \(FCG\), 2021](#)
  
- [Anti-Bribery & Corruption](#)
  - [OECD Anti-Corruption Integrity Hub](#)
  - [Transparency International's Corruption Perceptions Index, 2020](#)
  - [Wolfsberg Anti-Bribery and Corruption \(ABC\) Compliance Programme Guidance, 2017](#)
  - [Transparency International: Jurisdictions under increased monitoring, 2021](#)
  - [OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions, 1999](#)
  - [Transparency International Anti-Bribery Guidance, 2021](#)
  
- [Anti-Money Laundering and Counter-Financing Terrorism](#)
  - [The Financial Action Task Force homepage](#)
  - [Wolfsberg FAQs - Politically Exposed Persons \(PEPs\)](#)
  - [The UK Joint Money Laundering Steering Group \(JMLSG\) Guidance on Preventing of Money Laundering/Combating Terrorist Financing](#)
  - [The FATF 40+9 Recommendations, 2020](#)
  - [Wolfsberg Guidance on a Risk Based Approach for Managing Money Laundering Risks](#)

- [Basel Paper – Sound Management of Risks Related to Money Laundering and Financing of Terrorism, 2016.](#)
- [FATF’s Guidance on Anti-Money Laundering and Terrorist Financing Measures and Financial Inclusion, 2011](#)
- [FATF National Money Laundering and Terrorist Financing Risk Assessment.](#)
- [Wolfsberg Risk Assessment FAQs 2015](#)
- [Wolfsberg Group Correspondent Banking Due Diligence Questionnaire \(CBDDQ\) V1.2: 2018](#)
- [Bank of International Settlements \(BIS\) Customer Due Diligence for Banks](#)
- [Anti-Money-Laundering \(AML\) & Countering Financing of Terrorism \(CFT\) Risk Management in Emerging Market Banks, 2019](#)
- [European Banking Authority \(ESA\): Guidelines on risk factors and simplified and enhanced customer due diligence](#)
- [FATF Trade-based Money Laundering Risk Indicators, 2021](#)
- [FATF/Egmont Trade-based Money Laundering: Trends and Developments, 2020](#)
  
- [Sanctions](#)
  - [A Framework for OFAC Compliance Commitments, US Department of Treasury](#)
  - [Wolfsberg Guidance on Sanctions Screening, 2019](#)
  
- [Fraud](#)
  - [International Finance Corporation \(IFC\): Combatting Fraud & Corruption](#)

- [Tax Evasion](#)
  - [Wolfsberg Guidance on Customer Tax Evasion; 2019](#)
  
- [Cyber-crime](#)
  - [Council of Europe Cyber-crime Guidance; 2021](#)
  
  - [Interpol: Cybercrime Guidance](#)
  
- [Whistleblowing](#)
  - [OECD Whistleblower Protection](#)
  
  - [Transparency International: A best practice guide for Whistleblowing Legislation](#)
  
- [Governance](#)
  - [The OECD Principles of Corporate Governance; 2015](#)
  
  - [International Finance Corporation \(IFC\), The DFI Toolkit on Corporate Governance \(IFC\)](#)