**CLIENT E&S SITE VISIT REPORT TEMPLATE**

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| The purpose of the client E&S site visit report template is to provide guidance on the key E&S topics and / or considerations to take into account when undertaking a routine and / or ad-hoc site visit, during the due diligence or monitoring stages of the transaction cycle. Site visits seek to assess how well E&S matters are being managed and validate any information provided by an FI client or project. The depth of review and associated frequency of these reviews in monitoring stage is dependent on the nature of the client / project (i.e., the level of E&S risk exposure and extent of potential opportunities). Visits may also be necessary when circumstances arise that pose specific areas of concern for the client/project and the FI, such as: * In response to an accident or incident, concerns raised by stakeholders, media reports or enquiries, or action by law enforcement authorities;
* When an acquisition or major development / extension in operations presenting potential new E&S risk exposures is being considered; and
* A substantial change in the management team.

Findings from the site visit should be formally documented in a site visit report and any material issues shared with appropriate FI resources upon return to the office (i.e., transaction team and transaction committee). It is recommended to ask permission for taking pictures at the site as they may be useful for follow-up or evidence purposes. When conducting a site visit, holding short interviews with workers or their representatives is recommended to triangulate information received from documentation and management. This can be supported by conversations with the workers during the site walkaround.  |

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| **E&S Site Visit Template**  |
| **Rationale for visit:** | *Provide the rationale for the site visit e.g., due diligence, routine visit / ad-hoc / triggered by a specific E&S related matter/issue, etc*  |
| **Assessor(s):**  | *Indicate who conducted the site visit (including name, surname, organisation, position held, etc) and whether any external service providers joined the visit*  |
| **Site(s) Visited:** | *List the sites visited including location, short description of its operations and activities, areas of the sites visited, etc.*  |
| **Inter/view(s):** | *List any site personnel interviewed or engaged with (i.e., ESHS officer and representatives, human resources manager, head of operations, stakeholder relations manager, workers, etc).*  |
| **Summary of E&S Site Visit Findings** |
| **General Summary** | *Include a summary of key site visit findings.* |
| **New or Existing E&S Risk Exposures (Monitoring visit)** | *Review whether there have been any significant changes and / or new E&S risk exposures since the last site visit. This may include an increase or reduction in production, staff changes, relocation, new permits, new organisational structure, new regulations, constructional expansion projects, etc. Tip: The FI should confirm that the E&S risk category is still reflective of the level of risk exposure and amend accordingly.*  |
| **Corrective E&S Actions or ESAP Progress**  | *List the actions identified during the site visit, to minimise the outstanding E&S risks which will be included in the ESAP. This may include training, development of E&S management procedures, implement physical controls, engage with specialists, etc.* *For the monitoring stage, list the actions implemented as defined in the Environmental and Social Action Plan (ESAP) of the transaction agreement. This includes assessing which actions are overdue and any exemptions or plans that have been instituted to address these outstanding items, etc. Tip: Site visits provide an opportunity for the FI to request / review any information / documentation that verifies the progress being achieved.* |
| **E&S Incidents (Monitoring visit)** | *Confirm whether any E&S incidents occurred since the last site visit. These may include fire, chemical product spills, occupational accidents with loss time, strike, neighbourhood issues with the neighbours or with the communities, fines, etc. If yes, provide a description of the incident(s) and how the client/project dealt with the incident, including any mitigation measures implemented and lessons learnt.*  |
| **E&S Monitoring and Reporting (Monitoring Visit)** | *Has the annual E&S report been submitted within the prescribed timeframe? Is there evidence available, to allow the FI to confirm / verify the information provided?* |