

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country

Submission Date

Reporting Institution

Version number

I GENERAL PRINCIPLES

Objectives

- 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.

The policy on environmental, social and human rights issues is part of the business policy or SERV. This business policy is based on Swiss law (Act and Ordinance) and the strategic goals of the Swiss government . It implements the Swiss government's defined legal and strategic goals, thereby determining SERV's view of its own mission and the principles by which it conducts its business as well as it implements the 2012 revision of the OECD Common Approaches. The policy is published in SERV's guidelines for reviewing environmental, social and human-rights issues: http://www.serv-ch.com/fileadmin/Files/PDF/online-schalter/nachhaltigkeit/Leitlinien_Umwelt_e.pdf (English). Details about SERV's organisational structure : <http://serv-ch.a4mg.ch/cms.aspx?topic=en%2forganisation%2fabout-serv%2f/>.

- Please provide a link to the environmental and social due diligence page of your institution's website.

<http://www.serv-ch.com/en/sustainability/sustainability/> (English)
<http://www.serv-ch.com/fr/durabilite/durabilite/> (French)
<http://www.serv-ch.com/nachhaltigkeit/nachhaltigkeit/> (German)

II SCREENING

Exemptions

- 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) currency:

(c) details of any products exempt from screening:

(d) details of any other exemptions from screening:

Information requirements

- What information is required for the screening process?

Application form ☒ Separate environmental/social questionnaire ☐
 Sector / issue-specific questionnaires (please specify) ☐ Other (please specify) ☒

The application form requests detailed information about the project. Depending on the transaction and / or the answers provided, further information and/or clarifications may be required of the applicant.

Responsibility for screening

- Who is responsible for screening applications?

Underwriter ☐ Practitioner ☒
 ECA Consultant ☐ Other (please specify) ☐

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country

Submission Date

Reporting Institution

Version number

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?

Yes

If yes, please provide details:

The exporter has to specify, whether the export is going to an existing operation or whether it is part of a new undertaking. The answers are evaluated by the practitioner for potential material changes in output or function and for potential environmental, social and human right impacts.

(b) Identified locations that are in or near sensitive areas?

Yes

If yes, please provide details:

The exporter has to provide the exact address where the export good will be installed/operated and he has to state whether the export is destined to undertakings on locations in or near sensitive areas. SERV checks the address with the available information on protected areas and areas with cultural assets (using e.g. <http://www.protectedplanet.net/> ; <http://whc.unesco.org/en/list>).

Classification system

7. Do you classify applications described in paragraph 8 of the Recommendation?

Yes

If yes, how do you classify such applications?

Other (please specify)

For existing operations without change in output or function for which the share is equal to or above SDR 10 Mio SERV has an evaluation procedure which focuses on environmental, social and human rights risks.

8. Do you classify applications described in paragraph 9 of the Recommendation?

Yes

If yes, how do you classify such applications?

Other (please specify)

For projects for which the share is below SDR 10 Mio and which are not in or near sensitive areas, SERV has a risk based evaluation system for the environmental, social and human rights due diligence

III CLASSIFICATION

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?

Yes

If yes, please provide details, including any specific tools employed:

SERV classifies according to the criteria set out in paragraph 11 and Annex 1 of the Recommendation. As tools for supporting the environmental, social and human rights impact identifications process, SERV employs different sector specific instruments, e.g. the sector specific Environmental, Health and Safety Guidelines of IFC/World bank; the Best Available Technique Reference (BREF) Documents, available comparable Environmental, Social and Human Rights Impact Analyses of similar cases etc.

Responsibility for classification

10. Who is responsible for the classification of applications?

Underwriter

☐

Practitioner

☒

ECA Consultant

☒

Other (please specify)

☒

In cases where SERV is collaborating with other ECAs, their classification is considered as well.

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country Switzerland

Submission Date 13 April 2015

Reporting Institution SERV

Version number 3

IV ENVIRONMENTAL AND SOCIAL REVIEW

Scope and criteria

11. (a) 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? Yes

If yes, please provide details, for example:

May take account of review carried out by other ECAs, MFIs or Development Agency

(b) Any other comments:

Reinsurance cases: SERV only conducts a plausibility check, we rely mostly on the main insurer. All other cases depend on SERV's engagement. Mostly we would conduct our own environmental, social and human rights due diligence, taking into account the due diligence of all the different participating institutions.

12. Do you have policies and procedures in place for assessing, where appropriate, the potential environmental and/or social impacts of any associated facilities? Yes

If yes, please provide details:

SERV reviews associated facilities in the following manner: 1) review of the link with the project under review; 2) review of the environmental, social and human rights impacts of the associated facilities on a stand-alone basis; and 3) review of the environmental, social and human right impacts of the associated facilities in conjunction with the project under review.

13. Do you have policies and procedures in place for considering, where appropriate, any statements or reports from your National Contact Point (NCP)? Yes

If yes, please provide details:

The published statements and reports of the National Contact Point are evaluated by SERV on a regular basis. Information on exporters, buyers, and buyer countries mentioned in the reports and statements would be specifically considered in our environmental, social and human rights due diligence.

Category A projects

14. Under paragraph 17 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? No

If yes, please provide details, including the type of information that you would require in the absence of a (complete) ESIA:

Category B projects

15. 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.

SERV reviews category B projects in much the same way it reviews category A projects . First and foremost, the transaction's potential negative and positive environmental, social and human right impacts including measures to prevent, minimise, mitigate or compensate adverse impacts are compiled and analysed from the documentation made available. This documentation may include our own research (mainly internet searches and information from a network of partners such as embassies, chambers of commerce or other ECAs, as well as NGOs). SERV uses the same benchmarks it uses for category A projects: local standards and/or the relevant IFC Performance Standards or the World Bank Safeguard Policies must be adhered to. Should we need further information (including, e.g. an ESIA), the applicant – by applying for cover – has committed himself to providing any relevant information SERV requires to approve cover.

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country Switzerland

Submission Date 13 April 2015

Reporting Institution SERV

Version number 3

Responsibility for review

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

Underwriter	<input type="checkbox"/>	Practitioner	<input checked="" type="checkbox"/>
ECA Consultant	<input checked="" type="checkbox"/>	Other (please specify)	<input checked="" type="checkbox"/>

The practitioner is responsible for undertaking the environmental, social and human rights review. In special situations, e.g. when very specific knowledge and additional human resources are necessary, a consultant would provide services for the practitioner's review.

Standards for benchmarking projects

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

For all category A projects and those category B project for which we receive an ESIAR , we assess the ESIAR . Other documents that may ensure compliance are the respective authorisations and permits (letter of ESIAR approval) from the competent authority of the host country confirming compliance with local standards. As well we evaluate additional Environmental, Social and Human Rights reviews . Should we need further information, the applicant – by applying for cover – has committed himself to providing any relevant information SERV requires to approve cover.

18. Paragraphs 20-21 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.

Other (please specify)

(b) International Finance Corporation (IFC) Performance Standards.

Default standards, i.e. when WB/MFI not involved in project or when more stringent international standards (such as EU standards) not applied

(c) Multilateral Financial Institution (MFI) standards.

Where such institutions are supporting a project

(d) Any other comments:

Principally we use the IFC Performance Standards when assessing a project. In certain situations we may add the relevant World Bank operational policy (e.g. regarding questions related to safety of dams, international waterways, disputed areas).

19. 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?

Yes

If yes, please provide details:

SERV's first step is to engage the applicant - and for projects with broad implications, the project sponsor - to explore and implement improvements to seal any gaps. SERV's goal is to cover transactions that comply with relevant local and applicable and appropriate international standards. Should the transaction still not meet local and international standards and if the first step has not remedied the situation, SERV would request the applicant to justify the deviations and present an Environmental and Social Action Plan for the project (for projects with broad implications, SERV would insist on the involvement of the project sponsor). Such an ESAP would be part of the loan documentation. Accepting deviations is not taken lightly by SERV. In such cases, SERV's board of directors decides whether cover should be granted. This decision assures that the balance between the obligations Switzerland has assumed under international agreements and SERV's duty to promote exports and in so doing, to create and preserve jobs in Switzerland, is upheld. The Federal Council of Switzerland may – especially in case of projects with broader political implications – take the final decision to approve or disapprove cover.

Because SERV adheres to the prescribed procedures of the Recommendation on Common Approaches on the Environment and Officially Supported Export Credits, all such projects would be reported to the ECG accordingly.

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country

Submission Date

Reporting Institution

Version number

Site visits

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

- | | |
|--|--|
| <p>(a) All projects <input type="checkbox"/></p> <p>(b) Category A projects <input checked="" type="checkbox"/></p> <p>(c) Category A project finance transactions only <input type="checkbox"/></p> <p>(d) Category B projects <input checked="" type="checkbox"/></p> <p>(e) Project finance transactions <input type="checkbox"/></p> | <p>(f) Project involves particularly complex/unusual potential impacts <input checked="" type="checkbox"/></p> <p>(g) Project located in or near sensitive area <input checked="" type="checkbox"/></p> <p>(h) Project generating significant stakeholder interest <input checked="" type="checkbox"/></p> <p>(i) To verify project impact information provided <input checked="" type="checkbox"/></p> <p>(j) Other (please specify) <input type="text"/></p> |
|--|--|

V EVALUATION, DECISION AND MONITORING

Providing official support

21. 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?

- | | |
|---|---|
| Underwriter <input type="checkbox"/> | Practitioner <input type="checkbox"/> |
| Senior ECA staff <input checked="" type="checkbox"/> | ECA committee / board <input checked="" type="checkbox"/> |
| Guardian Authority(ies) <input checked="" type="checkbox"/> | Other (please specify) <input type="text"/> |

Dependent on project size, amount and environmental, social and human rights impacts, either ECA board, or senior staff would decide. In very rare cases for projects with a broad impact guardian authorities would decide.

22. (a) Under what circumstances would you consider denying support on account of the environmental and social impacts of a project? Please provide details.

SERV's principle is to cover transactions that comply with relevant local and international standards. This principle allows SERV to deny support for any transaction that does not fulfil environmental, social and human rights benchmarks as prescribed in the Common Approaches.

(b) Please provide any examples of experience.

There were e.g. cases, where the provided ESIAR based on national standards was evaluated and gaps between those standards and the international standards could not be filled. SERV did ask the applicant to document how those gaps could be filled. As a matter of fact this documentation of the Gap-analysis was not of satisfying quality and SERV was not in a position to support the transaction.

Conditions to official support

23. (a) 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.

Conditions concerning environmental, social and project related human right impacts are set prior to the decision on official support. Before definitive official support is given, SERV requests that the conditions have been fulfilled or/and an ESAP will be executed and monitored. SERV's General Terms and Conditions for all its products stipulate either the exclusion of indemnification or the cancellation of the policy should the policyholder not fulfil his obligations. One of the obligations the policyholder has is to „...fully and accurately represent all material circumstances of relevance to the acceptance of the insurance and the entitlement to indemnification...“. These representations of material circumstances of relevance are part of the policy (although they are not generally itemised in the policy) and would include conditions related to the environment.

(b) Please provide examples of any environmental and/or social conditions used.

Environmental and Social Action Plans, Monitoring, mitigation measures etc.

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country
 Submission Date

Reporting Institution
 Version number

Monitoring

24. 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:

(a) Types of projects:

- | | |
|--|--|
| (i) All projects <input type="checkbox"/>
(ii) Category A projects <input type="checkbox"/>
(iii) Category A project finance transactions only <input checked="" type="checkbox"/>
(iv) Category B projects <input type="checkbox"/>
(v) Project finance transactions <input type="checkbox"/>
(xi) Any other (please specify) <input type="checkbox"/> | (vi) Project involves particularly complex/unusual potential impacts <input type="checkbox"/>
(vii) Project located in or near sensitive area <input type="checkbox"/>
(viii) Project likely to generate significant stakeholder interest <input type="checkbox"/>
(ix) To verify how impacts are being addressed <input type="checkbox"/>
(x) Where support is provided subject to certain conditions <input checked="" type="checkbox"/> |
|--|--|

Normally, the environmental, social and human rights impact assessment documentation of A-projects contains an Environmental and Social Management Plan (ESMP) which provides the necessary framework for monitoring. SERV would - with the exception of limited or non-recourse project finance Category A-projects - not demand monitoring reports but rely on the timely implementation of the ESMP.

(b) Monitoring frequency/period:

(i) during construction: (ii) during operation:

(c) Content:

SERV expects that a report contains information on compliance and non-compliance of the actual situation with the benchmark values; actual relevant environmental, social and human rights-related data (measurement, surveys etc.); an evaluation of this data comparing it with the benchmark and information on measures to mitigate potential environmental, social and human rights impacts. The content of the monitoring is provided usually in the detailed ESMP and in other documentations agreed (e.g. gap-analysis with Terms of References on how to fill gaps).

(d) Any other comments:

Monitoring requirements are determined on a case-by-case basis

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

Underwriter <input type="checkbox"/>	Practitioner <input checked="" type="checkbox"/>
ECA Consultant <input checked="" type="checkbox"/>	Other (please specify): <input checked="" type="checkbox"/>

The practitioner has the main responsibility for monitoring the project for SERV. He would be supported by specialised environmental and social consultants for specific questions demanding profound knowledge and experience whenever needed. Final decisions on compliance in cases with monitoring obligations would be made in any case by the relevant body (ECA committee, board, guardian authority)

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country Switzerland

Submission Date 13 April 2015

Reporting Institution SERV

Version number 3

Non-compliance measures

26. (a) What actions are available to you in cases where monitoring reveals that conditions are not being complied with?

SERV's General Terms and Conditions for all its products stipulate either the exclusion of indemnification or the cancellation of the policy should the policyholder not fulfil its obligations. The cancellation of the policy can be initiated "if the policyholder provides material grounds that render a continuation of the policy unreasonable for SERV, or the policyholder breaches its obligations under the policy in any other way..." SERV would set up the monitoring requirement as an obligation of the policyholder and thus be able to - as the most extreme remedy - cancel the policy. On a practical level, SERV would first seek to engage the policyholder and the project sponsor (and, of course, any other parties involved, such as other ECAs) in a discussion and try to remedy the situation.

(b) Please provide any examples of experience.

Disclosure of monitoring reports

27. (a) In what circumstances do you encourage project sponsors to make *ex post* monitoring reports and related information publicly available?

- | | | | |
|--|--------------------------|--|-------------------------------------|
| (i) All projects | <input type="checkbox"/> | (vi) Project involves particularly complex/unusual potential impacts | <input type="checkbox"/> |
| (ii) Category A projects | <input type="checkbox"/> | (vii) Project located in or near sensitive area | <input type="checkbox"/> |
| (iii) Category A project finance transactions only | <input type="checkbox"/> | (viii) Project likely to generate significant stakeholder interest | <input checked="" type="checkbox"/> |
| (iv) Category B projects | <input type="checkbox"/> | (ix) Where project not in compliance with support | <input type="checkbox"/> |
| (v) Project finance transactions | <input type="checkbox"/> | (x) None | <input type="checkbox"/> |
| (xi) Any other (please specify) | <input type="checkbox"/> | | |

SERV encourages *ex post* monitoring reports to be disclosed when the underlying project has been categorised as an "A" project and either SERV or the policyholder can exert influence on the project sponsors. For limited or non-recourse project finance category A-projects monitoring is in any case mandatory. SERV also encourages *ex post* monitoring reports for "B" projects if an EIAR has been published and either SERV or the policyholder can exert influence on the project sponsors. In practice, SERV rarely has a direct relationship with the project sponsors and therefore can only exert limited influence through the applicant / policyholder.

(b) 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?

- | | | | |
|--|--------------------------|--|-------------------------------------|
| (i) All projects | <input type="checkbox"/> | (vi) Project involves particularly complex/unusual potential impacts | <input type="checkbox"/> |
| (ii) Category A projects | <input type="checkbox"/> | (vii) Project located in or near sensitive area | <input type="checkbox"/> |
| (iii) Category A project finance transactions only | <input type="checkbox"/> | (viii) Project likely to generate significant stakeholder interest | <input checked="" type="checkbox"/> |
| (iv) Category B projects | <input type="checkbox"/> | (ix) Where project not in compliance with support | <input type="checkbox"/> |
| (v) Project finance transactions | <input type="checkbox"/> | (x) None | <input type="checkbox"/> |
| (xi) Any other (please specify) | <input type="checkbox"/> | | |

SERV can require project sponsors to make information publicly available if this requirement is built into the policy. This is feasible for projects with broad implications, for which SERV's involvement is crucial to the fulfilment of local and international standards.

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country

Submission Date

Reporting Institution

Version number

VI EXCHANGE AND DISCLOSURE OF INFORMATION

Environmental and social procedural guidance

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

Exchanging information

29. Do you have policies and procedures in place for exchanging information with other ECAs and MFIs?

If yes, please provide details:

(a) co-insuring/co-financing situations:

Ad hoc informal exchanges (email, telephone, etc.) <input checked="" type="checkbox"/>	Ad hoc bilateral / multilateral meetings <input checked="" type="checkbox"/>
Practitioners' events <input checked="" type="checkbox"/>	Other (please specify) <input type="text"/>

In cases of co-insurance (SERV does not offer financing), SERV would follow its usual underwriting policy, ensuring, however, that the process of the co-insurer(s) is compatible. Because the decision whether to grant cover must be taken multilaterally, SERV assumes that all information pertinent to the environmental and social review is shared between the involved ECAs.

(b) competitive situations:

Ad hoc informal exchanges (email, telephone, etc.) <input checked="" type="checkbox"/>	Ad hoc bilateral / multilateral meetings <input checked="" type="checkbox"/>
Practitioners' events <input checked="" type="checkbox"/>	Other (please specify) <input type="text"/>

We exchange relevant information with other ECAs only with the permission of the exporter / financing institutions.

Ex ante disclosure of project information

30. 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) The scope and content of information released:

Project name <input checked="" type="checkbox"/>	Project location <input checked="" type="checkbox"/>
Description of exported goods/services and of the project <input checked="" type="checkbox"/>	Details of where additional information may be obtained <input checked="" type="checkbox"/>
Other (please specify) <input checked="" type="checkbox"/>	

In addition, SERV publishes a list on the internet showing all preliminary applications for transactions with a delivery value of MCHF 10 or more (and including projects with a repayment term of less than two years) , and projects in the categories A + B (according to the OECD Recommendation). SERV includes the following information (if available) in this list: approval date, type of cover, country, project name, export good, delivery value, tenor, category. On the internet site, a contact person is listed to provide information of details and where additional information may be obtained.

(b) The language of the information released:

ECA language <input type="checkbox"/>	English <input checked="" type="checkbox"/>
Project language <input type="checkbox"/>	Other (please specify) <input type="text"/>

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country

Submission Date

Reporting Institution

Version number

(c) Method of disclosure:

ECA website (please provide link below)

☒

Other (please specify)

☐

<http://serv-ch.a4mg.ch/cms.aspx?topic=en%2fsustainability%2fproject-information%2f> ;
<http://serv-ch.a4mg.ch/cms.aspx?topic=en%2fsustainability%2fproject-information%2fb-projects%2f>

(d) The minimum number of days the information should be made available prior to commitment:

days

(e) Details of any circumstances in which project information relating to Category A projects is not disclosed prior to commitment:

Ex ante disclosure of environmental and social impact information

31. 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.

SERV will always ensure that the ESIA report is publicly disclosed. If available, the summary of the ESIA, Action Plans, Gap Analysis, Resettlement Documents and other relevant information, including a link to a project website, would also be disclosed.

(b) Language of the information released:

ECA language

☐

English

☒

Project language

☒

Other (please specify)

☒

In many cases, the ESIA is already translated and available in English. If this is not the case, ESIA's etc. can be released in the project language, if SERV is capable to review the contents of the documentation. The project description is always in English.

(c) Method of disclosure:

Disclosure of documents by ECA

☒

Via link on ECA website to additional information

☒

Other (please specify)

☐

The documents are published on the Internet under
<http://serv-ch.a4mg.ch/cms.aspx?topic=en%2fsustainability%2fproject-information%2f>

(d) Minimum number of days the information should be made available prior to commitment:

days

(e) Details of any circumstances in which environmental and social impact information relating to Category A projects is not disclosed prior to commitment.

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country

Submission Date

Reporting Institution

Version number

Ex post disclosure

32. 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:

(i) Project name	<input checked="" type="checkbox"/>	(x) Project location	<input checked="" type="checkbox"/>
(ii) Description of exported goods/services and of the project	<input checked="" type="checkbox"/>	(xi) Name of exporter	<input checked="" type="checkbox"/>
(iii) Name of buyer / project sponsor	<input type="checkbox"/>	(xii) Type of support	<input checked="" type="checkbox"/>
(iv) Repayment term	<input checked="" type="checkbox"/>	(xiii) Project credit volume	<input checked="" type="checkbox"/>
(v) Commitment date	<input checked="" type="checkbox"/>	(xiv) Category (A or B)	<input checked="" type="checkbox"/>
(vi) Reason for classification	<input type="checkbox"/>	(xv) Standards applied to the project	<input type="checkbox"/>
(vii) Key environmental and social factors / potential impacts	<input type="checkbox"/>	(xvi) Details of any conditions (including monitoring) applied	<input type="checkbox"/>
(viii) On-going monitoring reports	<input type="checkbox"/>	(xvii) GHG emissions of projects	<input type="checkbox"/>
(ix) Details of where additional information may be obtained	<input checked="" type="checkbox"/>	(xviii) Other (please specify)	<input checked="" type="checkbox"/>

For category A-project, more detailed project information is provided through the compulsory ESIA reports and a written project description. SERV as well discloses ex post all projects with a contract value of MCHF 10 or more (including projects with repayment term < 2 years) including all projects in categories A, B and C if the policy holder agrees to the publication

(b) Language of the information released:

ECA language	<input type="checkbox"/>	English	<input checked="" type="checkbox"/>
Project language	<input type="checkbox"/>	Other (please specify)	<input type="checkbox"/>

(c) Method of disclosure:

ECA website (please provide link below)	<input checked="" type="checkbox"/>	Other (please specify)	<input type="checkbox"/>
---	-------------------------------------	------------------------	--------------------------

<http://serv-ch.a4mg.ch/cms.aspx?topic=en%2fsustainability%2fproject-information%2f> ;
<http://serv-ch.a4mg.ch/cms.aspx?topic=en%2fsustainability%2fproject-information%2fb-projects%2f>

(d) How often *ex post* information on projects classified in Category A and Category B is made publicly available:

quarterly

(e) How long the information remains in the public domain:

indefinitely

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country **Switzerland**
Submission Date **13 April 2015**

Reporting Institution **SERV**
Version number **3**

(f) Details of any circumstances in which information on Category A and Category B projects is not disclosed after a final commitment is made:

SERV will publish information only for those transactions for which it has received permission from the exporter and/or financing institution. It is SERV's policy to require the exporter and/or financing institute to justify a refusal. For all category A and B projects, however, disclosure after final commitment is mandatory.

33. 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? **Yes**

If yes, please provide details:

Reported to the Working Group on Export Credits and Credit Guarantees (ECG)	<input checked="" type="checkbox"/>	Disclosed publicly on ECA website	<input checked="" type="checkbox"/>
Disclosed publicly on Guardian Authority's website	<input type="checkbox"/>	Other (please specify)	<input type="checkbox"/>

VII REPORTING AND MONITORING OF THE RECOMMENDATION

Accountability of your guidelines

34. Do you have appropriate measures and mechanisms in place to ensure compliance with your policies and procedures? **Yes**

If yes, please provide details, including (multiple answers may apply):

(i) ECA committee / board approvals	<input checked="" type="checkbox"/>	(v) Guardian Authority(ies) approvals	<input checked="" type="checkbox"/>
(ii) Internal audits	<input checked="" type="checkbox"/>	(vi) Assurance provided by external parties	<input checked="" type="checkbox"/>
(iii) Compliance Officer	<input checked="" type="checkbox"/>	(vii) Complaint procedures	<input type="checkbox"/>
(iv) Disclosure and reporting practices	<input checked="" type="checkbox"/>	(viii) Other (please specify)	<input type="checkbox"/>

SERV's environmental and social due diligence policy is evaluated every 3-4 years by a specialised environmental and social consultant.

Monitoring and evaluation

35. Do you have any policies and procedures in place for monitoring and evaluating your experience of the Recommendation at a national level? **Yes**

If yes, please provide details:

During the course of 2012, after the publication of the 2012 Common Approaches, SERV conducted an internal review of its compliance procedures and it was decided to evaluate and revise the procedures and practices with the support of an external consultant. The new and adapted compliance procedures were introduced by the end of 2012. The same process applied in 2007 with the then 2007 Common Approaches and will apply for the next revision process in 2015/2016.

Sharing information

36. Do you have policies and procedures in place for sharing experiences with other Members? **Yes**

If yes, please provide details:

Ad hoc informal exchanges (email, telephone, etc.)	<input checked="" type="checkbox"/>	Ad hoc bilateral / multilateral meetings	<input checked="" type="checkbox"/>
Practitioners' events	<input checked="" type="checkbox"/>	Other (please specify)	<input checked="" type="checkbox"/>

Workshops with other ECAs

Revisions of due diligence procedures

37. (a) When was the last review or update of your due diligence procedures conducted? (mm/yy) **06-2012**

(b) What was the motivation for the last review or update of your due diligence procedures?

Several international due diligence instruments relevant for SERV had been updated between 2010-2012 and motivated a review of SERV's compliance procedures:
- Adoption of the OECD Common Approaches (28 June 2012)
- The IFC Performance Standards and Guidance Notes (effective January 1, 2012)

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country **Switzerland**
 Submission Date **13 April 2015**

Reporting Institution **SERV**
 Version number **3**

(c) Are any modifications foreseen in the near future?

Yes

If yes, please provide details:

Together with the revision of the common approaches in the near future SERV will evaluate if a revision of SERV's environmental, social and human rights due diligence processes is necessary. Such revision will be subsequently executed.

When ? (mm/yy)

12-2016

Resources

38. How many dedicated Practitioners work for your institution?

1

Reporting

39. How frequently do you report *ex post* to the ECG, in accordance with paragraph 41 of the Recommendation, all Category A and Category B projects for which a final commitment has been issued?

semi-annually

40. Do you produce any reports on environmental and social issues in addition to those required by the Recommendation?

Yes

If yes, please provide details:

SERV publishes every quarter a list on the internet showing all preliminary applications and all covered transactions with a delivery value of MCHF 10 or more (and including projects with a repayment term of less than two years) in addition to A and B projects. As well the annual report of SERV contains information on sustainability issues and project data. The annual report is authorised by the Federal Government.

Additional measures

41. Have you adopted any additional measures for undertaking due diligence, consistent with the overall objectives of the Recommendation?

Yes

If yes, please provide details:

For projects which do not fall under the provisions or part of the provisions of the OECD Common Approaches SERV has introduced an environmental, social and human rights due diligence process. This process is based on a risk based, do no harm concept. In the process, SERV also benchmarks against international and host country standards and takes into account the overall objectives of the OECD Common Approaches.

Applications not classified

42. 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?

Yes

If yes, please provide details:

For transactions associated with existing operations SERV has introduced an environmental, social and human rights due diligence process. This process is based on a risk based, do no harm concept. In the process, SERV also benchmarks against international and host country standards and takes into account the overall objectives of the OECD Common Approaches.

43. 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?

Yes

If yes, please provide details:

For transactions associated with exports of capital goods and/or services that are not destined to identified locations SERV has introduced an environmental, social and human rights due diligence process. This process is based on a risk based, do no harm concept. In the process, SERV also benchmarks against international and host country standards and takes into account the overall objectives of the OECD Common Approaches

Environmental and Social Survey

REPORTING COUNTRY INFORMATION

ESS-CHE-SERV (13-04-2015) version 3

Reporting Country

Switzerland

Reporting Institution

SERV

Submission Date

13 April 2015

Version number

3

Applications not covered by the Recommendation

44. 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.?

Yes

If yes, please provide details:

For transactions not covered by the Recommendation SERV has introduced an environmental, social and human rights due diligence process. This process is based on a risk based, do no harm concept. In the process, SERV also benchmarks against international and host country standards and takes into account the overall objectives of the OECD Common Approaches.

Additional comments

45. Please provide any additional comments.