

Printable version of BII'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.

BII policies, checklists, templates and guidance

- [BII policies](#)
 - [BII's Policy on Responsible Investing, April 2022](#)
 - [BII's Code of Responsible Investing, 2017 - 2021](#)
 - [BII's Climate Change Strategy](#)

- [BII checklists](#)
 - [BII's environmental and social checklist](#)
 - [BII's environmental and social screening checklist](#)
 - [BII's environmental and social Risk Assessment Form](#)
 - [Manufacturing ESDD Checklist](#)

- [BII templates](#)
 - [E&S Action Plan Template](#)
 - [Client E&S Site Visit 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](#)

- [BII guidance](#)
 - [BII Good Practice: Preventing Fatalities and Serious Accidents](#)
 - [BII Good Practice: Environmental and social due diligence: mitigating risks, identifying opportunities](#)
 - [BII Guidance: Adding value in healthcare](#)
 - [BII Toolkit on ESG for Fund Managers \(2010 - Historical version\)](#)
 - [BII Guidance: Mapping Gender Risks and Opportunities for Investors in Africa and South Asia](#)
 - [BII Good Practice for the private sector: Social Risk Management in Ethiopia](#)
 - [BII Guidance: Managing a Remote Workforce during COVID-19](#)
 - [BII Guidance: COVID-19 Guidance for Investors and FIs on Job Protection](#)
 - [BII Guidance: COVID-19 and Business Integrity](#)

- [BII Guidance: Human Resources Management Assessment Tool](#)
- [BII Guidance: Disability Inclusion Guidance Note for BII Investee Companies](#)
- [BII Guidance: Disability Inclusion Guidance Note for BII Investee Companies \(accessible format\)](#)
- [BII Guidance: Environmental & Social Management System Structure](#)
- [Terms of References for Consultants E&S Due Diligence](#)
- [BII Guidance: Sustainable Finance Disclosure Regulations for fund managers in emerging markets](#)

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](#)
- [BII 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](#)
 - [BII'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 \(IFC\)](#)