



**Environmental and Social Screening and Assessment Framework (ESSAF)**

**for**

**Multi-Donor Trust Fund (MDTF)**

**Islamabad, Pakistan**

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## List of Acronyms

BP	Bank Procedures
DNA	Damages and Needs Assessment
EA	Environmental Assessment
ECOP	Environmental codes of practice
EIA	Environmental Impact Assessment
EPA	Environmental Protection Agency
ESFP	Environmental and social focal point
ESMP	Environmental and Social Management Plan
ESSAF	Environmental and Social Screening and Assessment Framework
FATA	Federally Administered Tribal Areas
GoBalochistan	Government of Balochistan
GoKP	Government of Khyber Pakhtunkhwa
GoP	Government of (Islamic Republic of) Pakistan
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
ICR	Implementation Completion Report
IDP	Internally displaced person
IEE	Initial Environmental Examination
IFC	International Finance Corporation
KP	Khyber Pakhtunkhwa (province)
MDTF	Multi Donor Trust Fund
OP	Operational Policy
PAP	Project affected person
PaRRSA	Provincial Relief, Rehabilitation and Settlement Authority
PCNA	Post Conflict Needs Assessment
PSR	Project Supervision Report
RP	Resettlement Plan
SA	Social Assessment
TARUCCI	Tribal Areas Rural to Urban Centers Conversion Initiative
WB	World Bank

## Pakistan

### Environmental and Social Screening and Assessment Framework

#### I. Introduction

1. A Multi-donor Trust Fund (MDTF) has been established in Pakistan to assist in the reconstruction and livelihood restoration in the conflict-affected areas of Khyber Pakhtoonkhwa (KP), the Federally Administered Tribal Areas (FATA), and Balochistan. Much of the conflict-affected areas are again impacted by the recent flooding. The MDTF will be keeping, mainly, the focus of its intervention on post crisis while also addressing the response to the recent floods if requested by the Government of Pakistan (GOP).

2. To provide a mechanism to carry out appropriate assessment of environment and social impacts and implement necessary safeguard measures under these emergency operations, an Environmental and Social Screening and Assessment Framework (ESSAF) has been developed, in line with the Bank's safeguard policies and OP 8.0 for the emergency operations.

#### II. Overview of MDTF

3. The purpose of the MDTF is to support the implementation of reconstruction and development aimed at facilitating the recovery of the affected regions in KP, FATA, and Balochistan from the impact of the armed conflict and reducing the potential for escalation or resumption. To this end, the MDTF will finance projects intended to: (i) promote enhanced, sustainable and accountable delivery of basic services; (ii) support livelihoods and community-based development of basic infrastructure and services; (iii) help communities to access assets and market opportunities and create the basis for viable income generating activities; and (iv) support peace building activities and promote rapid crisis recovery in KP, FATA and conflict-affected districts of Balochistan; and (v) strengthening, (re)building and/or maintaining government institutions in order to improve governance, the overall institutional performance and state effectiveness.

4. The broad sectoral areas eligible for funding from the MDTF are described below.

- Restoring damaged infrastructure and disrupted services, including *inter alia*: (i) reconstructing health, education and government buildings, and providing equipment and supplies therefore; (ii) restoring damaged infrastructure in the power, transport, water supply, sanitation and irrigation sectors; and (iii) carrying out a program for owner-driven reconstruction or repair of housing damaged during the armed conflict;
- Improving local (district and/or union) service delivery, including *inter alia*: (i) increasing the capacity and accountability of local governments for resource management and service delivery; and (ii) providing basic infrastructure and delivering basic services to low income communities through community-driven development interventions;
- Improving provincial governance and service delivery, including, *inter alia*: (i) strengthening coverage, quality and governance of the education system by: (A) increasing enrolment rates and improving learning outcomes; (B) strengthening

administration and operation of schools; and (C) promoting better monitoring and evaluation (accountability) mechanisms; (ii) strengthening the quality of primary and secondary health care services, as well as the stewardship of the health system; (iii) improving the coverage, targeting, efficiency and cost-effectiveness of the social protection system; (iv) strengthening justice service delivery and the rule of law; and (v) strengthening the institutional and technical capabilities of civil administration;

- Maintaining and/or reinforcing livelihoods of local communities through increased access to productive assets and market opportunities in order to facilitate income generating activities, including *inter alia*: (i) augmenting and/or recovering lost livestock; (ii) providing agricultural inputs such as fertilizers and seeds, and/or preparing land plots to restore production; (iii) providing micro-credits to low income communities; and (iv) providing skills development and business development training to rural community members to foster new business ventures among poor rural households;
- Strengthening the technical capacity, and institutional arrangements and coordination, of KP's and Balochistan's line departments and agencies, as well as the FATA Secretariat, in order to carry out the post-crisis reconstruction efforts, including *inter alia*: (i) reviewing and revising policies, where appropriate, to consolidate peace and avert future conflicts by addressing their underlying causes; and (ii) supporting the KP's Provincial Reconstruction, Rehabilitation and Settlement Authority and FATA's Disaster Management Authority.

### **III. ESSAF Objective**

5. This ESSAF has been developed specifically for all projects and activities to be financed under the MDTF. Recognizing the urgent need for assistance and emergency nature of potential operations to be financed under the MDTF, the ESSAF provides an approach, tailored to this emergency situation in line with OP 8.00, to manage the potential environmental and social impacts of the projects and activities under the MDTF. It will guide the implementation agencies in: i) carrying out appropriate assessment of environmental and social impacts; ii) planning and implementing necessary environmental and social mitigation measures for these projects during the implementation phase, in compliance with relevant World Bank safeguard policies and the national regulatory requirements in Pakistan.

### **IV. General Principal**

6. Recognizing the emergency nature of the potential operations under the MDTF and the related need for providing immediate assistance, while at the same time ensuring due diligence in managing potential environmental and social risks, the ESSAF is based on the following principles:

- The operations under MDTF will support multiple projects, the detailed designs of which may not be known at this stage. To ensure effective application of the World Bank's safeguard policies and the national regulatory requirements, the ESSAF provides guidance on the approach to be taken during the selection and design of projects/subprojects and the planning of mitigation measures.

- Environmental category ‘A’ projects are not expected under the MDTF. However, if any do occur, Environment Assessments (EAs) for specific operations will be carried out during implementation, instead of before appraisal (the EAs will need to be carried out and cleared by the Bank *before* initiating the category ‘A’ projects). The corrective measures in the form of an Environmental and Social Management Plan (ESMP) will be built into the design of the specific projects under MDTF. The above is in accordance with paragraph 13 of OP 4.01 and paragraph 5 of BP 4.01.
- For any environmental category ‘B’ project, an ESMP will be prepared during implementation, instead of before appraisal, however the ESMP will need to be prepared and cleared by the Bank *before* initiating the works under the project. For any project that consists of several distinct subprojects, ESMPs can be prepared for individual subprojects or their clusters.
- No major resettlement issues are expected in the recovery and reconstruction operations to be financed under the MDTF. However, all proposed operations will be subject to resettlement impact screening. If any resettlement impacts are expected to occur, Resettlement Plans (RPs) for specific projects will be prepared and approved *before* initiating the specific projects.

## V. Policy Framework

7. **Pakistan EIA Regulations. Environmental Protection Act, 1997.** The Act requires that an Initial Environmental Examination (IEE) is carried out prior to undertaking any project, or an Environmental Impact Assessment (EIA) is carried out prior to any project that may cause significant environmental and social impacts – and approval obtained from the Environmental Protection Agency (EPA). The Act will be applicable to the projects under MDTF also, and the EAs to be conducted for the individual projects as part of the emergency operations will be consistent with the requirements laid down in the Act and its subordinate IEE/EIA Regulations.

8. **The Land Acquisition Act (LAA) 1894.** The Pakistan law governing land acquisition is the LAA of 1894 and successive amendments. The LAA regulates the land acquisition process and enables the federal and provincial governments to acquire private land for public purposes through the exercise of the right of eminent domain. Land acquisition is a provincial responsibility and each province has its own interpretation of the Act. Some provinces also have their own province specific implementation rules.

9. **World Bank OP 4.01 - Environmental Assessment.** This operational policy (OP) requires EA to be conducted of projects proposed for Bank financing to help ensure that they are environmentally sound and sustainable with an objective to improve decision making process. The OP also classifies the project in one of the four categories (A, B, C and FI) on the basis of the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts.

10. Considering the nature and magnitude of potential environmental and social impacts from relatively limited scale and quantum of the proposed activities, the operations under the MDTF are likely to be classified as category ‘B’. The requirement to carry out an Environmental Assessment (EA) as part of project preparation can be waived but, for projects

with potential adverse impacts, an appropriated level of environmental and social assessment will be carried out during the project implementation. At the same time, prior to appraisal, the implementing agencies will agree to apply the following minimum standards during implementation: (i) inclusion of standard environmental codes of practice (ECOP) in the bid documents of all projects; (ii) conducting EA acceptable to the Bank *before* initiating any environmental category ‘A’ projects/subprojects; (iii) preparing ESMP acceptable to the Bank *before* initiating any environmental category ‘B’ projects/subproject; (iv) review and oversight of any major construction works by environmental and social specialists; (v) provisions for adequate budget and satisfactory institutional arrangements to implement the environmental and social mitigation measures; and (vi) provisions for adequate budget and satisfactory institutional arrangements to monitor the effective implementation of environmental and social mitigation measures.

11. **World Bank OP 4.12 - Involuntary Resettlement.** The need for involuntary resettlement or land acquisition in specific subproject areas will only be known during project implementation, when site-specific plans are available. Therefore projects will be screened for applicability of the resettlement policy and any projects involving involuntary resettlement or land acquisition will only be approved after preparation of a resettlement plan acceptable to the Bank. The safeguards framework will therefore include procedures for identifying eligible project-affected people, calculating and delivering compensation, and mechanisms for land dispute grievance redress.

12. **World Bank OP/BP 4.10 - Indigenous Peoples.** There are no known indigenous peoples living in the affected areas and ethnicity is in any case only one of many factors determining vulnerability in the present situation in Pakistan. In this perspective, a social assessment with focus on potential vulnerability covering all affected groups is planned to ensure effective consultations and culturally appropriate benefits for each group, instead of focusing only on groups defined as “indigenous peoples”. As part of this analysis, project preparation will assess the vulnerability of different groups in particular project contexts (in terms of potential exclusion from project benefits, negative project impacts, and the need for specific culturally compatible mechanisms for participation, e.g. for women, permanently disabled), and will incorporate adequate measures to address such vulnerability in project design.

13. **World Bank OP 11.03 - Cultural Property.** The emergency operations may pose limited risks of damaging cultural property, assuming that they will not include large-scale excavations, movement of earth or demolition. Nevertheless, projects will be reviewed for their potential impact on cultural property and clear procedures will be required for identification, protection of cultural property from theft, and treatment of discovered artifacts, and will be included in standard bidding documents. While not damaging cultural property, subproject preparation may later identify and include assistance for preservation of historic or archeological sites. If these opportunities occur, cultural property management plans would be prepared for those projects.

14. **World Bank OP 4.04 - Natural Habitats/OP 4.36 - Forestry.** The projects under the proposed recovery operations are unlikely to directly affect the natural habitats, forest resources, declared forest reserves, wildlife reserves, national parks, and sanctuaries.

However, the reconstruction activities may indirectly increase pressure on natural resources, such as timber. Hence, this aspect will need to be covered in the environmental and social assessment of the individual projects. In addition, the implementing agencies will agree, prior to appraisal, not to carry out any reconstruction works under the proposed project in thickly forested areas, declared forest reserves, wildlife reserves, national parks, and sanctuaries. Decisions on actions and requirements will be made with the concurrence of the Bank.

15. **Other WB Operational Policies.** Other OPs - including OP 4.09 (Pest Management), OP 4.37 (Safety of Dams), OP 7.50 (Projects in International Waters), and OP 7.60 (Projects in Disputed Areas) – are not likely to be relevant for the proposed project and hence not triggered. However, these OPs will be reviewed while conducting the EAs or preparing ESMP for the category ‘A’ and category ‘B’ projects, respectively.

## VI. Impact Screening, Assessment and Mitigation Planning

16. While preparing any operations or projects for financing under the MDTF, the ESSAF will be followed to screen environmental and social impacts and plan any required mitigation measures. The screening process and its findings as well as the proposed mitigation measures will be documented as part of the project/subproject package. The following guidelines, codes of practice and requirements will be followed in the selection, design and implementation of any operations financed under the MDTF.

- Environmental impact assessment will be conducted for all projects/subprojects under MDTF. Criteria for the type of assessment to be conducted for individual projects/subprojects are provided in **Attachment 1**. Full EAs will need to be conducted and clearance obtained from the Bank *prior* to initiating environmental category ‘A’ projects/subprojects. Environmental and Social Management Plans (ESMPs) will need to be prepared and clearance obtained from the Bank *prior* to initiating environmental category ‘B’ projects/subprojects<sup>1</sup>; **Attachment 2** provides guidelines for preparing ESMPs. For smaller projects/subprojects, environmental screening will be carried out with the help of the checklist provided in **Attachment 3**. The EAs and ESMPs will also be submitted to the relevant EPA for obtaining No Objection Certificate (NOC) before commencing the project/subprojects implementation, in line with the national regulatory requirements in the Country.
- Each implementing agency under the MDTF will appoint/designate an environmental and social focal point (ESFP), who will be responsible for ESSAF implementation within his/her organization, and also for the preparation and submission of quarterly monitoring reports to the Bank on the screening of and the rationale for the proposed environmental categorization of each project.
- While conducting EA and preparing ESMP, cumulative impacts of a large number of projects/subprojects will also be considered.
- All projects/subprojects will be screened for need of land acquisition and resettlement. If confirmed, necessary planning efforts will be carried out to develop mitigation measures.

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<sup>1</sup> The requirement of obtaining Bank’s clearance for the EAs/ESMPs is proposed for the first two years of the MDTF.

A guideline for land compensation and resettlement planning is provided in **Attachment 4**.

- All projects/subprojects will be screened for impacts on physical cultural resources and necessary mitigation measures. Procedures for the protection of cultural property, including the chance discovery of archaeological artifacts, unrecorded graveyards and burial sites are outlined in **Attachment 5**.
- All construction contracts for the projects/subprojects financed by the MDTF will include appropriate clauses to ensure effective implementation of the mitigation measures identified in EA/ESMP/Checklist. A sample environmental safeguards procedure for inclusion in the technical specifications of contracts is provided in **Attachment 6**.
- The Environment, Health and Safety Guidelines developed by the International Finance Corporation (IFC) and the World Bank will also be applicable to the activities under the emergency projects/subprojects. The Guidelines are provided in **Attachment 7**.
- The procurement plans for the proposed projects/subprojects will include milestones for preparation of EA/ESMP/Checklist, and obtaining clearance from the Bank.
- Subject to the needs as determined by the Bank's safeguards' team, the implementing agency will engage an independent consultant or consulting firm to conduct an annual environmental and social audit as third party validation, of the subprojects undertaken during each year of the Project implementation.

## **VII. Consultations**

17. Consultations will be mainstreamed in the preparation of new operations under the MDTF. For environmental Category 'A' and 'B' operations<sup>2</sup>, the implementing agencies will consult the potentially affected groups and local nongovernmental organizations on the project environmental and social aspects, and will take their views into account. The implementing agencies will initiate these consultations as early as possible, and for meaningful consultations, will provide relevant material in a timely manner prior to consultation, in a form and language(s) that are understandable and accessible to the groups being consulted.

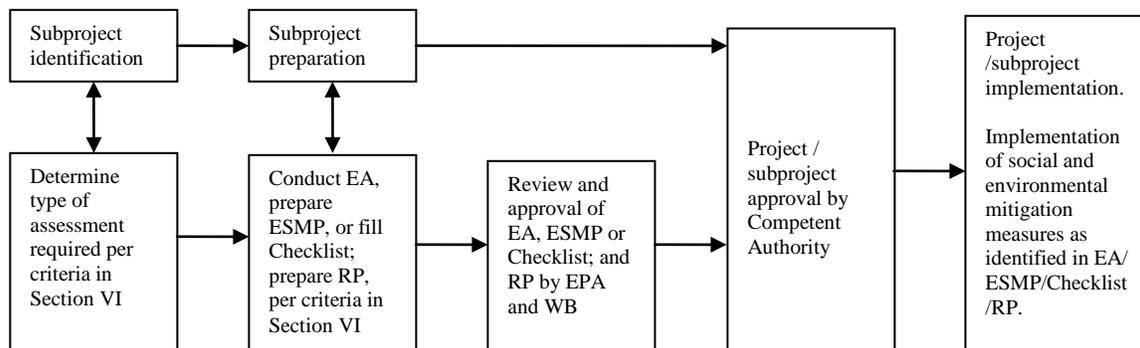
18. For Category 'A' projects/subprojects, the implementing agencies will consult these groups at least twice: (a) shortly after the environmental screening and prior to finalization of the terms of reference for the EA and RP; and (b) once a draft EA report and RP are prepared. For the initial consultation, the implementing agencies will provide a summary of the proposed subproject's objectives, description, and potential impacts. For both Category 'A' and 'B' projects, the implementing agencies will provide these groups with a summary of the EA report and RP (including the conclusions of the assessment). In addition, the implementing agencies will make the draft reports publicly available to project-affected groups and local nongovernmental organizations.

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<sup>2</sup> As defined in World Bank Operational Policy 4.01, Environmental Assessment.

## VIII. Planning, Review and Approval

19. The entire environmental and social screening and assessment procedure described above will be integrated within the preparation of the operations under the MDTF. To this end, the screening and planning to address environmental and social impacts would be initiated during the operation preparation phase. The operation preparation agencies will be responsible for the screening and planning of any environmental and social action plans required in line with this Framework. The EA or ESMP and RPs will be submitted to the project approving authority as part of the project/subproject application package. The implementation agencies will assign specialists to review the environmental and social safeguard action plans, such as screening report, EA, ESMP and RP. The implementation agencies will submit the safeguard documents for World Bank's review and clearance, in accordance with the procedures as described in **Section VI**. The implementation agencies will not approve the proposed operations until the required environmental and social safeguard action plans are cleared for compliance with the Framework by the World Bank. A simplified flow chart for project preparation, approval and execution along with the EA/ESMP/Checklist requirements is provided below.



20. The implementing agencies will implement the projects under MDTF in close coordination with the relevant line departments, local governments, and political agents. Each implementing agency and in turn, each line department, will be responsible for applying the safeguard screening and mitigation requirements to its own projects. Separate environmental and social focal points (ESFPs) will be identified in each of the implementing agencies, with responsibility for overseeing the implementation of the ESSAF. The provincial EPAs (for KP and Balochistan), and Federal EPA (for FATA projects) will be responsible for environmental clearance for operations or projects/subprojects that require statutory environmental clearance, in accordance with the law. Although the national/provincial environmental clearance procedures are adequate and fairly reliable, the Bank will still review a samples of the EAs/ESMPs prepared under each sub-component and provide necessary concurrence for the approval of disbursements of funds.

21. All agencies and departments who are preparing and will implement operations under the MDTF will appoint officers as the environmental and social focal points (ESFPs), who will liaise and coordinate with relevant agencies to ensure compliance with this Framework.

## **IX. Capacity-Building and Monitoring of ESSAF Implementation**

22. As part of the capacity-building to be provided for implementation of the proposed operations, the ESFPs and relevant staff of the concerned line departments will also receive training in ESSAF's application. The World Bank will monitor and provide guidance in the implementation of the ESSAF. The World Bank will also assist in this capacity-building in the implementation of approved safeguard action plans.

23. The implementing agencies through their ESFPs will be responsible, besides other functions, to monitor and supervise the implementation of any safeguard action plans. For this purpose, the implementing agencies will establish a monitoring mechanism as part of the project management system over the implementation of agreed safeguard action plans. In addition, the implementing agencies will also engage external monitors over the implementation of agreed safeguard action plans. The monitoring mechanisms should be detailed in the required action plans.

## **X. Disclosure**

24. This ESSAF will be shared with all relevant agencies, line departments of the provincial and federal governments, concerned nongovernmental organizations, and development partners. Subsequently, it will be disclosed in Urdu and English by the implementing agencies, and also made available at the websites of GoP, GoKP, FATA Secretariat, GoBalochistan and the relevant line departments. Copies of ESSAF will also be sent to Federal EPA, KP EPA, and Balochistan EPA. It will also be made available at the World Bank's InfoShop. Relevant project specific safeguard documents/mitigation plans to be prepared subsequently will also be disclosed in a similar manner.

## Attachment 1: Criteria for Type of Environmental Instrument

Type of Subproject	Category A Projects/Subprojects Full EA Required	Category B Projects/Subprojects ESMP Required (See Attachment 2)	Smaller Projects/Subprojects Environmental Screening Required (Attachment 3)
Infrastructure (such as water supply, sanitation, solid waste management, access roads, drainage, and street lighting)	Cost: Rs 25 million or above	Cost: less than Rs 25 million, but more than 1 million	Cost: up to 1 million
Roads	Cost: Rs. 50 million or above	Cost: less than Rs 50 million, but more than 2 million	Cost: up to 2 million
Schools and health care facilities	Cost: Rs. 50 million or above	Cost: less than Rs 50 million, but more than 2 million	Cost: up to 2 million

Notes: These criteria may need to be customized for individual projects under MDTF and approval obtained from the Bank. The RPs will be prepared for the projects/subprojects involving land acquisition and involuntary resettlement, as described in Section VI.

## Attachment 2: Guidelines for Preparation of Environmental and Social Management Plans

1. The EA process involves the identification and development of measures aimed at eliminating, offsetting and/or reducing environmental and social impacts to levels that are acceptable during implementation and operation of the projects. As an integral part of EA, ESMP provides an essential link between the impacts predicted and mitigation measures specified within the EA and implementation and operation activities. The World Bank guidelines state that detailed ESMPs are essential elements for Category ‘A’ projects, but for many Category ‘B’ projects, a simple ESMP alone will suffice. While there are no standard formats for ESMPs, it is recognized that the format needs to fit the circumstances in which the ESMP is being developed and the requirements, which it is designed to meet. ESMPs should be prepared after taking into account comments and clearance conditions from both the relevant agency providing environmental clearance and WB. Given below are the important elements that constitute an ESMP.

### *a. Description of Mitigation Measures*

2. Feasible and cost effective mitigation measures to minimize adverse impacts to acceptable levels should be specified with reference to each impact identified. Further, it should provide details on the conditions under which the mitigation measure should be implemented (eg, routine or in the event of contingencies). The ESMP should also distinguish between the phase in which it should become operable (design, construction and/or operational). Efforts should also be made to mainstream environmental and social aspects where possible. Cumulative impacts of a large number of projects should also be considered, particularly when they are located close to each other. For this purpose, a separate study should be conducted for such group of projects to

identify their cumulative negative impacts, and to determine appropriate mitigation measures to address these negative impacts.

*b. Monitoring Program*

3. In order to ensure that the proposed mitigation measures have the intended results and comply with national standards and donor requirements, an environmental monitoring program should be included in the ESMP. The monitoring program should give details of the following;

- Monitoring indicators to be measured for evaluating the performance of each mitigation measure (for example national standards, engineering structures, extent of area replanted, etc).
- Monitoring mechanisms and methodologies
- Monitoring frequency
- Monitoring locations
- Documentation and reporting requirements.

*c. Institutional Arrangements*

4. Institutions/departments responsible for implementing mitigation measures and for monitoring their performance should be clearly identified. Additionally, roles and responsibilities of various personnel in these departments should be clearly specified. Where necessary, mechanisms for institutional coordination should also be identified as often monitoring tends to involve more than one institution.

*d. Implementing Schedules*

5. Timing, frequency and duration of mitigation measures with links to overall implementation schedule of the project should be specified.

*e. Reporting Procedures*

6. Feedback mechanisms to inform the relevant parties on the progress and effectiveness of the mitigation measures and monitoring should be specified. Guidelines on the type of information wanted and the presentation of feedback information should also be highlighted.

*f. Cost Estimates and Sources of Funds*

7. Implementation of mitigation measures mentioned in the ESMP, and environmental/social monitoring will involve an initial investment cost as well as recurrent costs. The ESMP should include costs estimates for each measure and also identify sources of funding.

### **Attachment 3: Checklist of Likely Environmental and Social Impacts of Projects**

This Form is to be used by the Environmental and Social Focal Persons (ESFPs) in screening subproject applications/proposals for which EA/SA and ESMP are not required (see **Attachment 1**). This checklist may need to be customized, and approval obtained from the Bank for the revised checklist, for any particular project.

Note: One copy of this form and accompanying documentation to be kept in the office of the relevant implementing agency, and one copy to be sent to the task team leader of the World Bank.

Name of Subproject:

Number of Subproject:

Proposing Agency:

Subproject Location:

Subproject Objective:

Infrastructure to be Rehabilitated:

Estimated Cost:

Proposed Date of Commencement of Work:

Technical Drawing/Specifications Reviewed (circle answer): Yes \_\_ No \_\_

#### **I. Subproject Related Issues**

	<b>ISSUES</b>	<b>None</b>	<b>Minor/ Small</b>	<b>Moderate/ Medium</b>	<b>Significant / Large</b>	<b>Mitigation Measures</b>
<b>A.</b>	<b>Zoning and Land Use Planning</b>					
1	Will the subproject affect land use zoning and planning or conflict with prevalent land use patterns?					
2	Will the subproject involve significant land disturbance or site clearance?					

	ISSUES	None	Minor/ Small	Moderate/ Medium	Significant / Large	Mitigation Measures
3	Will the subproject land be subject to potential encroachment by urban or industrial use or located in an area intended for urban or industrial development?					
<b>B</b>	<b>Utilities and Facilities</b>					
4	Will the subproject require the setting up of ancillary facilities?					
5	Will the subproject make significant demands on utilities and services?					
6	Will the subproject require significant levels of accommodation or service amenities to support the workforce during construction (e.g., contractor will need more than 20 workers)?					
<b>C</b>	<b>Water and Soil Contamination</b>					
7	Will the subproject require large amounts of raw materials or construction materials?					
8	Will the subproject generate large amounts of residual wastes, construction material waste or cause soil erosion?					
9	Will the subproject result in potential soil or water contamination (e.g., from oil, grease and fuel from equipment yards)?					
10	Will the subproject lead to contamination of ground and surface waters by herbicides for vegetation control and chemicals (e.g., calcium chloride) for dust control?					

	ISSUES	None	Minor/ Small	Moderate/ Medium	Significant / Large	Mitigation Measures
11	Will the subproject lead to an increase in suspended sediments in streams affected by road cut erosion, decline in water quality and increased sedimentation downstream?					
12	Will the subproject involve the use of chemicals or solvents?					
13	Will the subproject lead to the destruction of vegetation and soil in the right-of-way, borrow pits, waste dumps, and equipment yards?					
14	Will the subproject lead to the creation of stagnant water bodies in borrow pits, quarries, etc., encouraging for mosquito breeding and other disease vectors?					
<b>D.</b>	<b>Noise and Air Pollution Hazardous Substances</b>					
15	Will the subproject increase the levels of harmful air emissions?					
16	Will the subproject increase ambient noise levels?					
17	Will the subproject involve the storage, handling or transport of hazardous substances?					
<b>E.</b>	<b>Fauna and Flora</b>					
18	Will the subproject involve the disturbance or modification of existing drainage channels (rivers, canals) or surface water bodies (wetlands, marshes)?					
19	Will the subproject lead to the destruction or damage of terrestrial or aquatic ecosystems or endangered species directly or by induced development?					
20	Will the subproject lead to the disruption/destruction of wildlife through interruption of migratory routes,					

	ISSUES	None	Minor/ Small	Moderate/ Medium	Significant / Large	Mitigation Measures
	disturbance of wildlife habitats, and noise-related problems?					
<b>F.</b>	<b>Destruction/Disruption of Land and Vegetation</b>					
21	Will the subproject lead to unplanned use of the infrastructure being developed?					
22	Will the subproject lead to long-term or semi-permanent destruction of soils in cleared areas not suited for agriculture?					
23	Will the subproject lead to the interruption of subsoil and overland drainage patterns (in areas of cuts and fills)?					
24	Will the subproject lead to landslides, slumps, slips and other mass movements in road cuts?					
25	Will the subproject lead to erosion of lands receiving concentrated outflow carried by covered or open drains?					
26	Will the subproject lead to long-term or semi-permanent destruction of soils in cleared areas not suited for agriculture?					
27	Will the subproject lead to health hazards and interference of plant growth adjacent to roads by dust raised and blown by vehicles?					
<b>G.</b>	<b>Cultural Property</b>					
28	Will the subproject have an impact on archaeological or historical sites, including historic urban areas?					
29	Will the subproject have an impact on religious monuments, structures and/or cemeteries?					

	ISSUES	None	Minor/ Small	Moderate/ Medium	Significant / Large	Mitigation Measures
30	Have Chance Finds procedures been prepared for use in the subproject?					
<b>H.</b>	<b>Expropriation and Social Disturbance</b>					
31	Will the subproject involve land expropriation or demolition of existing structures?					
32	Will the subproject lead to induced settlements by workers and others causing social and economic disruption?					
33	Will the subproject lead to environmental and social disturbance by construction camps?					

## II. Site Related Issues

	Issues	Yes	No	Don't Know	Mitigation Measures
1	Does the subproject require land acquisition? [Note: Fill in the land acquisition form if YES]				
2	Will the subproject negatively impact livelihoods [Note: Describe separately if YES]				
3	Is the sub project located on land with contested ownership?				
4	Is the sub project located in an area with security problems				
5	Is the sub projected located on land reclaimed from floods ( the ownership here may be contested)				
6	Is the subproject located in an area with designated natural reserves?				
7	Is the subproject located in an area with unique natural features?				
8	Is the subproject located in an area with endangered or				

	<b>Issues</b>	<b>Yes</b>	<b>No</b>	<b>Don't Know</b>	<b>Mitigation Measures</b>
	conservation-worthy ecosystems, fauna or flora?				
9	Is the subproject located in an area falling within 500 meters of national forests, protected areas, wilderness areas, wetlands, biodiversity, critical habitats, or sites of historical or cultural importance?				
10	Is the subproject located in an area which would create a barrier for the movement of conservation-worthy wildlife or livestock?				
11	Is the subproject located close to groundwater sources, surface water bodies, water courses or wetlands?				
12	Is the subproject located in an area with designated cultural properties such as archaeological, historical and/or religious sites?				
13	Is the subproject in an area with religious monuments, structures and/or cemeteries?				
14	Is the project located in an area from where people have been displaced?				
15	Is the project located in an area where IDPs are temporarily settled?				
16	Is the project in a politically sensitive area?				
17	Is the subproject in a polluted or contaminated area?				
18	Is the subproject located in an area of high visual and landscape quality?				
19	Is the subproject located in an area susceptible to landslides or erosion?				
20	Is the subproject located in an area of seismic faults?				
21	Is the subproject located in a densely populated area?				
22	Is the subproject located on prime agricultural land?				
23	Is the subproject located in an area of tourist importance?				

	<b>Issues</b>	<b>Yes</b>	<b>No</b>	<b>Don't Know</b>	<b>Mitigation Measures</b>
24	Is the subproject located near a waste dump?				
25	Does the subproject have access to potable water?				
26	Is the subproject located far (1-2 kms) from accessible roads?				
27	Is the subproject located in an area with a wastewater network?				
28	Is the subproject located in the urban plan of the city?				
29	Is the subproject located outside the land use plan?				

Signed by Safeguard Focal Person: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Signed by Project Manager: Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## **Attachment 4: Guidelines for Land Acquisition and Resettlement Planning**

### **I. Objectives**

1. Resettlement and land acquisition will be kept to a minimum, and will be carried out in accordance with these guidelines. Subproject proposals that would require demolishing houses or acquiring productive land should be carefully reviewed to minimize or avoid their impacts through alternative alignments. Proposals that require more than minor expansion along rights of way should be carefully reviewed. No land or asset acquisition may take place outside of these guidelines. A format for a Land Impact Screening Data Sheet is attached as **Attachment 4(i)**

2. These guidelines provide principles and instructions to compensate negatively affected persons to ensure that they will be assisted to improve, or at least to restore, their living standards, income earning or production capacity to pre-project levels regardless of their land tenure status.

3. Voluntary land contribution is accepted with the following conditions,

- Contribution is truly voluntary without pressure
- The land contributed is free of occupation
- Contribution is less than 10% of the total land holding
- The contributing household is not below the national poverty line
- The contribution is documented
- Land transferred in the name of the recipient through proper documentation (a formal agreement on Stamp Paper, duly registered).

4. Voluntary contribution should be clearly documented to confirm the voluntary nature of the transition. The documentation should specify that the land is free of any squatters, encroachers or other claims. A format is shown in **Attachment 4(ii)**.

### **II. Policy Framework for Land Acquisition and Resettlement**

5. The framework is prepared on the basis of the Land Acquisition Act and the World Bank Operation Policy 4.12 on Involuntary Resettlement. The overall objective is to mitigate adverse project impacts on people's livelihood, and assist them in improving or at least restoring their livelihoods. The following principles will be followed in developing any resettlement plans,

6. The project implementation agencies will ensure timely provision of the following means of compensation to affected peoples:

- (a) Project affected peoples losing access to a portion of their land or other productive assets with the remaining assets being economically viable are entitled to compensation at a replacement cost for that portion of land or assets lost to them. Compensation for the lost assets will be made according to the following principles:
  - (i) replacement land with an equally productive plot, cash or other equivalent productive assets;
  - (ii) materials and assistance to fully replace solid structures that will be demolished;
  - (iii) replacement of damaged or lost crops and trees, at market value;

- (iv) in case of cash compensation, the delivery of compensation should be made in public, i.e., at the Community Meeting;
  - (v) in case of physical relocation, provision of civic infrastructure at the resettlement sites; and
  - (vi) for women losing land, assets etc, compensation will be paid directly to them through female staff of the project.
- (b) Project affected peoples losing access to a portion of their land or other economic assets rendering the remainder economically non-viable will have the options of compensation for the entire asset by provision of alternative land, cash or equivalent productive asset, according to the principles in (a) i-iv above.

7 The displaced persons eligible for compensation or rehabilitation provisions under the Program are:

- All land owning displaced persons losing land or non-land assets, i.e., crops and trees whether covered by legal title or traditional land rights, whether for temporary or permanent acquisition.
- Tenants and share-croppers, whether registered or not; for all non land assets, based on prevailing tenancy arrangements.
- Displaced persons losing the use of structures and utilities, including titled and non-titled owners, registered, unregistered, tenants and lease holders plus encroachers and squatters.
- Displaced persons losing business, income and salaries of workers, or a person or business suffering temporary effects, such as disturbance to land, crops, and business operations both permanently and also temporarily during construction.
- Loss of communal property, lands and public infrastructure.
- Vulnerable displaced persons identified through focus group discussions.
- In the event of relocation, all displaced persons will receive transitional and other support to reestablish shelter and livelihoods.
- Special support to be provided to women-headed households and vulnerable groups losing land, assets/livelihood, etc.

### Entitlement Matrix

Assets lost	Specification	Displaced Person	Compensation Entitlements
Residential/ commercial land		Owner (legal/legalizable)	<ul style="list-style-type: none"> <li>▪Cash compensation at replacement cost plus 15% compulsory acquisition surcharge (CAS) free of taxes, registration and transfer costs; or</li> <li>▪Land for land compensation through provision of plots of comparable value and location as the lost asset, in the same province close to the original land, including transitional support.</li> </ul>

<b>Assets lost</b>	<b>Specification</b>	<b>Displaced Person</b>	<b>Compensation Entitlements</b>
		Renter/leaseholder	▪Cash compensation value proportionate to the duration of the remaining lease period.
		Encroacher/Squatter	▪Self relocation allowance covering one year of agricultural income; or ▪Provision of a replacement plot in a public resettlement area and with the legal status (owned or leased) of that lost.
Agricultural land, including cultivable land and uncultivable wasteland	All land losses irrespective of impact severity	Owner	▪Cash compensation at replacement cost plus 15% CAS, free of taxes, of registration and transfer costs; or ▪Land for land compensation through provision of plots of equal value and productivity as that lost.
		Sharecropper/Tenant (registered or not)	▪Cash compensation equal to the market value of the share of lost harvests: two shares if the land loss is permanent, one if it is temporary.
		Lease Tenant (registered or not)	▪Cash equivalent of the market value of the gross yield of lost land for the remaining lease years, up to maximum of three years.
		Encroacher/Squatter	▪Rehabilitation allowance equal to the market value of the harvest of lost land for one year (both rabi and kharif crops) in addition to standard crop compensation.
Residential and commercial structures		Owner of the structure, including Encroachers/Squatters	▪Cash compensation at full replacement cost for affected structures and other fixed assets, free of salvageable materials, depreciation and transaction cost and also transportation cost; or if partial loss, full cash assistance to restore the remaining structure. Fees and taxes (if applicable) will be waived. The option of relocation and relevant support will be discussed during the focus group discussions and included in the RPs.
		Renter/Leaseholder	▪Cash compensation equivalent to three months rent or a value proportionate to the duration of the remaining lease.
Community Assets			▪Rehabilitation/substitution or cash compensation at full replacement cost of the affected structures and utilities.

<b>Assets lost</b>	<b>Specification</b>	<b>Displaced Person</b>	<b>Compensation Entitlements</b>
Businesses		All DPs so impacted	<ul style="list-style-type: none"> <li>▪Cash compensation equal to income during the interruption period, as determined through the SIA and included in the RP</li> </ul>
Employment		All DPs so impacted	<ul style="list-style-type: none"> <li>▪Indemnity for lost wages for the period required to re-establish business as determined through the Social Impact Assessment (SIA) and included in the RP.</li> </ul>
Crops	Affected crops	Cultivator of crop	<ul style="list-style-type: none"> <li>▪Crop compensation in cash at the full market rate for one year's agricultural income (both rabi and kharif harvests). If sharecropped or a tenant then compensated according to shares.</li> </ul>
Trees	All affected trees	Owner	<ul style="list-style-type: none"> <li>▪Fruit trees: compensation to reflect income replacement as assessed by Horticulture department based on market value of annual produce projected for number of years the tree can potentially produce fruit, present age of the tree, and life of the tree.</li> <li>▪Timber trees: trees grown and/or used for timber then compensation is to reflect the market value of tree's wood content, based on the wood measurement survey of forest department, present age of the tree, and life of the tree.</li> </ul>
Relocation	Transport/transition costs	All DPs to be relocated	<ul style="list-style-type: none"> <li>▪Provision of allowances to cover transport costs on actual cost basis at current market rates. If physical relocation of the affected households is required and requested by the displaced persons, appropriate relocation sites will be developed or through support provided to flood victims. The need for support during the transitional period will be assessed through the SIA and included in the RP.</li> </ul>

<b>Assets lost</b>	<b>Specification</b>	<b>Displaced Person</b>	<b>Compensation Entitlements</b>
Vulnerable DP livelihood support		Poor and female headed households and other vulnerable households, including the elderly, identified through the SIA.	<ul style="list-style-type: none"> <li>▪Cash allowance equivalent to at least 12 months of minimum wages of PKRs 7000/- per month as fixed by the GOP (in accordance with figures released by the Province) using the poverty line index or as determined through the social impact assessment surveys.</li> <li>▪First priority for skills training under emergency support. Job placement program employing DPs in project reconstruction activities.</li> <li>▪All DPs and households are also eligible for government flood assistance cash support.</li> <li>▪The DPs to be facilitated to link up with the BISP program.</li> </ul>
Unidentified Losses	Unanticipated impacts	All DPs	<ul style="list-style-type: none"> <li>▪Dealt with as appropriate during sub-project implementation according to the WORLD BANK policy.</li> </ul>

### **III. Procedure of Formulating a Land Acquisition and Resettlement Plan**

8. If resettlement impacts are unavoidable in implementing a subproject, the executing or implementing agency will formulate a land acquisition and resettlement plan in parallel with sub-project design according to the following procedure:

- Complete the screening checklist.
- Conduct focus group discussions including consultations with women and vulnerable households to (a) obtain stakeholder inputs regarding how to avoid or at least minimize involuntary resettlement, and to identify their needs and preferences; (b) establish the social and economic baseline to prepare the RPs.
- Based on detailed design undertake (a) social impacts assessment (SIA), (b), census survey of DPs, (c) complete an inventory of lost land and assets of all DPs and addresses of households, (d) land demarcation and measurement surveys (LDMS), and (e) disclose resettlement information to all DPs in their own language.
- Prepare and disclose the RPs to all DPs in their own language and keep copies of the documents at public offices; the project executing agency or concerned government will endorse the RPs before submitting it MDTF and to World Bank for review.

### **IV Consultation Process**

8. The implementing agencies will ensure that all occupants of land and owners of assets located in a proposed subproject area are consulted. Community meetings will be held in each affected district and village. The consultations will identify their concerns and take into account special needs and considerations. Consultations will be gender inclusive and ensure vulnerable households are not excluded. The decisions of such meetings will be recorded, and these records

will indicate the responsibility and timeline for implementing the decisions. Each resettlement plan will document all public consultations held and the disclosure of resettlement information. During RP preparation, resettlement information will be disclosed to all DPs in their own language, and their views and opinions will be taken into consideration in finalizing the plans. Final RPs will be translated into local languages and disclosed through public notices posted at implementing agency offices, published in newspapers, and posted on World Bank's website. The DPs will be closely consulted in resettlement site selection and livelihood restoration, as relevant. Separate consultations will be held for women by female staff of the project.

## **V. Complaints and Grievances**

8. Field level grievances will be addressed through a local grievance redress committee to be formally constituted for reconstruction activities that will have participation of DPs and EAs. The local grievance redress committee will be established at district level, which will comprise of all relevant stakeholders, including DP representatives and a local NGO/CBO. The committees will function as open forums for raising objections and holding discussions to resolve conflicts. Each committee will record its deliberations and inform the concerned parties within 4 weeks of its findings and recommendations. Displaced persons may also appeal to the Ombudsperson established under the flood management program.

9. The Project to consider involving the local *Jirga* for resolving the complaints and grievances. The Project will have to ensure that if the *Jirga* decision is being taken then it has to be gender sensitive. The Project can approach the Political Agent for this purpose.

## **VI. Monitoring and Evaluation**

10. The RP implementation for each sub-project will be monitored both internally and externally. The EAs/IAs with assistance of MC will carry out internal monitoring and provide periodical monitoring reports to World Bank. The frequency of reports will vary from sub-project to sub-project in accordance with the severity and magnitude of impacts. External monitoring will be required in cases where livelihood compensation has to be paid and section-by-section approach for RP and civil works is adopted. The aim would be to identify cases where the mitigation measures and compensation are failing to support livelihoods, so that additional measures can be identified to prevent this happening, especially in sub-projects that will be implemented on a section-by-section basis. The external monitoring agency (EMA) will be hired under the MCs and frequency of external monitoring will be identified in each RP depending on the scale and sensitivity of impacts. All monitoring reports will also be submitted to World Bank prior to mobilization of the civil works contractor.

11. The EMA will also assess the situation of affected vulnerable groups, including female headed households, with selection based upon consideration of appropriate socio-economic indicators and a review of the RP implementation process. In the event that DPs will need to be relocated, the EMA will carry out a post-implementation evaluation of the RP about a year after completion of a sub-project, in order to ascertain whether the objectives of the RP were attained. The benchmark data of the socio-economic survey of DPs conducted during the preparation of RP will be used to compare the pre and post-project conditions. The EMA will recommend appropriate supplementary assistance for the DPs should the outcome of the monitoring show that the objectives of the RP have not been achieved.

## Attachment 4(i): INVOLUNTARY RESETTLEMENT SCREENING CHECKLIST

Name of Enumerator: \_\_\_\_\_ Date: \_\_\_\_\_

Province: \_\_\_\_\_ District: \_\_\_\_\_ Project: \_\_\_\_\_ Sector: \_\_\_\_\_

Project Categorization: A B C<sup>3</sup>

Potential Impacts	Yes	No	Expected	Remarks
Does the sub-project involve any physical construction work, i.e. rehabilitation, reconstruction or new construction? Specify in “remarks” column.				
Does the sub-project involve impacts on land, assets and people, if “Yes” try to quantify the impacts and check following items. If “No” impacts, explain the situation in “remarks” and move to section 2.				
<b>Potential impacts</b>				
<b>Land</b> (quantify and describe types of land in “remarks column”.				
Government or state owned land free of occupation (agriculture or settlement)				
Private land				
• Residential				
• Commercial				
• Agriculture				
• Communal				
• Others (specify in “remarks”).				
<b>Land-based assets:</b>				
• Residential structures				
• Commercial structures (specify in “remarks”)				
• Community structures (specify in “remarks”)				
• Agriculture structures (specify in “remarks”)				
• Public utilities (specify in “remarks”)				
• Others (specify in “remarks”)				
<b>Agriculture related impacts</b>				
• Crops and vegetables (specify types and cropping area in “remarks”).				
• Trees (specify number and types in “remarks”).				
• Others (specify in “remarks”).				
<b>Affected Persons (DPs)</b>				
• Number of DPs				
• Males				
• Females				
• Titled land owners				
• Tenants and sharecroppers				

Category A (significant impacts): 200 or more people physically displaced from housing or losing more than 10% of their productive assets (income generating). Category B: Impacts not significant, resettlement plan required. Category C: No impact, no further action required.

<b>Potential Impacts</b>	<b>Yes</b>	<b>No</b>	<b>Expected</b>	<b>Remarks</b>
• Leaseholders				
• Agriculture wage laborers				
• Encroachers and squatters (specify in remarks column).				
• Vulnerable DPs (e.g. women headed households, minors and aged, orphans, disabled persons and those below the poverty line). Specify the number and vulnerability in “remarks”.				
• Others (specify in “remarks”)				
<b>Section 2</b>				
Others (specify in “remarks”).				
Are there any indigenous or other minority groups affected by land acquisition or project activities? If “Yes” check the following items				
• Indigenous groups (specify groups in “remarks”). Describe nature of impacts				
• Minority groups (specify in “remarks”). Describe nature of impacts				

**Attachment 4(ii): Format to Document Contribution of Assets**

The following agreement has been made on..... day of..... between.....resident of .....(the Owner) and .....(the Recipient).

1. That the Owner holds the transferable right of .....hectares of land/structure/asset in.....

2. That the Owner testifies that the land/structure is free of squatters or encroachers and not subject to other claims.

3. That the Owner hereby grants to the Recipient this asset for the construction and development of .....for the benefit of the villagers and the public at large.

*(Either, in case of donation:)*

4. That the Owner will not claim any compensation against the grant of this asset.

*(Or, in case of compensation:)*

4. That the Owner will receive compensation against the grant of this asset as per the attached Schedule.

5. That the Recipient agrees to accept this grant of asset for the purposes mentioned.

6. That the Recipient shall construct and develop the.....and take all possible precautions to avoid damage to adjacent land/structure/other assets.

7. That both the parties agree that the.....so constructed/developed shall be public premises.

8. That the provisions of this agreement will come into force from the date of signing of this deed.

9. That the owner gives up all claims to the land donated and the title to the land will be transferred to the recipient through notary public.

\_\_\_\_\_  
Signature of the Owner

\_\_\_\_\_  
Signature of the Recipient

Witnesses:

1. \_\_\_\_\_

2. \_\_\_\_\_  
(Signature, name and address)

## Attachment 5: Protection of Cultural Property

1. Cultural property include monuments, structures, works of art, or sites of significance points of view, and are defined as sites and structures having archaeological, historical, architectural, or religious significance, and natural sites with cultural values. This includes cemeteries, graveyards and graves.
2. The initial phase of the proposed emergency reconstruction operations pose limited risks of damaging cultural property since projects will largely consist of small investments in community infrastructure, reconstruction of existing structures, and minor public works. Nevertheless, the following procedures for identification, protection from theft, and treatment of discovered artifacts should be followed and included in standard bidding documents as provided in **Attachment 6**.

### **Chance Find Procedures**

3. Chance find procedures will be used as follows:
  - (a) Stop the construction activities in the area of the chance find;
  - (b) Delineate the discovered site or area;
  - (c) Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Ministry in charge of Department of Archaeology and Museums take over;
  - (d) Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Ministry of Culture immediately (within 24 hours or less);
  - (e) Responsible local authorities and the Ministry in charge of Department of Archaeology and Museums would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists of the Department of Archaeology and Museums (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;
  - (f) Decisions on how to handle the finding shall be taken by the responsible authorities and the Ministry in charge of Department of Archaeology and Museums. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage;
  - (g) Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Ministry in charge of Department of Archaeology and Museums; and
  - (h) Construction work could resume only after permission is given from the responsible local authorities and the Ministry in charge of Department of Archaeology and Museums concerning safeguard of the heritage.

4. These procedures must be referred to as standard provisions in construction contracts, when applicable, and as proposed in **Attachment 6**. During project supervision, the Site Engineer shall monitor the above regulations relating to the treatment of any chance find encountered are observed.

5. Relevant findings will be recorded in World Bank Project Supervision Reports (PSRs), and Implementation Completion Reports (ICRs) will assess the overall effectiveness of the project's cultural property mitigation, management, and activities, as appropriate.

## **Attachment 6: Safeguards Procedures for Inclusion in the Technical Specifications of Contracts**

### **I. General**

1. The Contractor and his employees shall adhere to the mitigation measures set down and take all other measures required by the Engineer to prevent harm, and to minimize the impact of his operations on the environment.
2. The Contractor shall not be permitted to unnecessarily strip clear the right of way. The Contractor shall only clear the minimum width for construction and diversion roads should not be constructed alongside the existing road.
3. Remedial actions which cannot be effectively carried out during construction should be carried out on completion of each Section of the road (earthworks, pavement and drainage) and before issuance of the Taking Over Certificate:
  - (a) these sections should be landscaped and any necessary remedial works should be undertaken without delay, including grassing and reforestation;
  - (b) water courses should be cleared of debris and drains and culverts checked for clear flow paths; and
  - (c) borrow pits should be dressed as fish ponds, or drained and made safe, as agreed with the land owner.
4. The Contractor shall limit construction works to between 6 am and 7 pm if it is to be carried out in or near residential areas.
5. The Contractor shall avoid the use of heavy or noisy equipment in specified areas at night, or in sensitive areas such as near a hospital.
6. To prevent dust pollution during dry periods, the Contractor shall carry out regular watering of earth and gravel haul roads and shall cover material haulage trucks with tarpaulins to prevent spillage.

### **II. Transport**

7. The Contractor shall use selected routes to the project site, as agreed with the Engineer, and appropriately sized vehicles suitable to the class of road, and shall restrict loads to prevent damage to roads and bridges used for transportation purposes. The Contractor shall be held responsible for any damage caused to the roads and bridges due to the transportation of excessive loads, and shall be required to repair such damage to the approval of the Engineer.
8. The Contractor shall not use any vehicles, either on or off road with grossly excessive, exhaust or noise emissions. In any built up areas, noise mufflers shall be installed and maintained in good condition on all motorized equipment under the control of the Contractor.

9. Adequate traffic control measures shall be maintained by the Contractor throughout the duration of the Contract and such measures shall be subject to prior approval of the Engineer.

### **III. Workforce**

10. The Contractor should whenever possible locally recruit the majority of the workforce and shall provide appropriate training as necessary.

11. The Contractor shall install and maintain a temporary septic tank system for any residential labor camp and without causing pollution of nearby watercourses.

12. The Contractor shall establish a method and system for storing and disposing of all solid wastes generated by the labor camp and/or base camp.

13. The Contractor shall not allow the use of fuelwood for cooking or heating in any labor camp or base camp and provide alternate facilities using other fuels.

14. The Contractor shall ensure that site offices, depots, asphalt plants and workshops are located in appropriate areas as approved by the Engineer and not within 500 meters of existing residential settlements and not within 1,000 meters for asphalt plants.

15. The Contractor shall ensure that site offices, depots and particularly storage areas for diesel fuel and bitumen and asphalt plants are not located within 500 meters of watercourses, and are operated so that no pollutants enter watercourses, either overland or through groundwater seepage, especially during periods of rain. This will require lubricants to be recycled and a ditch to be constructed around the area with an approved settling pond/oil trap at the outlet.

16. The contractor shall not use fuelwood as a means of heating during the processing or preparation of any materials forming part of the Works.

### **IV. Quarries and Borrow Pits**

17. Operation of a new borrow area, on land, in a river, or in an existing area, shall be subject to prior approval of the Engineer, and the operation shall cease if so instructed by the Engineer. Borrow pits shall be prohibited where they might interfere with the natural or designed drainage patterns. River locations shall be prohibited if they might undermine or damage the river banks, or carry too much fine material downstream.

18. The Contractor shall ensure that all borrow pits used are left in a trim and tidy condition with stable side slopes, and are drained ensuring that no stagnant water bodies are created which could breed mosquitoes.

19. Rock or gravel taken from a river shall be far enough removed to limit the depth of material removed to one-tenth of the width of the river at any one location, and not to disrupt the river flow, or damage or undermine the river banks.

20. The location of crushing plants shall be subject to the approval of the Engineer, and not be close to environmentally sensitive areas or to existing residential settlements, and shall be operated with approved fitted dust control devices.

## **V. Earthworks**

21. Earthworks shall be properly controlled, especially during the rainy season.

22. The Contractor shall maintain stable cut and fill slopes at all times and cause the least possible disturbance to areas outside the prescribed limits of the work.

23. The Contractor shall complete cut and fill operations to final cross-sections at any one location as soon as possible and preferably in one continuous operation to avoid partially completed earthworks, especially during the rainy season.

24. In order to protect any cut or fill slopes from erosion, in accordance with the drawings, cut off drains and toe-drains shall be provided at the top and bottom of slopes and be planted with grass or other plant cover. Cut off drains should be provided above high cuts to minimize water runoff and slope erosion.

25. Any excavated cut or unsuitable material shall be disposed of in designated tipping areas as agreed to by the Engineer.

26. Tips should not be located where they can cause future slides, interfere with agricultural land or any other properties, or cause soil from the dump to be washed into any watercourse. Drains may need to be dug within and around the tips, as directed by the Engineer.

## **VI. Historical and Archeological Sites**

27. If the Contractor discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the Contractor shall:

- (a) Stop the construction activities in the area of the chance find.
- (b) Delineate the discovered site or area.
- (c) Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Department of Archeology and Museums and the responsible Ministry take over.
- (d) Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Department of Archeology and Museums and the responsible Ministry immediately (less than 24 hours).
- (e) Contact the responsible local authorities and the Department of Archeology and Museums and the responsible Ministry who would be in charge of protecting and preserving the site before deciding on the proper procedures to be carried out. This

would require a preliminary evaluation of the findings to be performed by the archeologists of the Department of Archeology and Museums and the responsible Ministry (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage, including the aesthetic, historic, scientific or research, social and economic values.

- (f) Ensure that decisions on how to handle the finding be taken by the responsible authorities and the Department of Archeology and Museums and the responsible Ministry. This could include changes in the layout (such as when the finding is an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage.
- (g) Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Department of Archeology and Museums and the responsible Ministry ; and
- (h) Construction work will resume only after authorization is given by the responsible local authorities and the Department of Archeology and Museums and the responsible Ministry/department concerning the safeguard of the heritage.

## **VII. Disposal of Construction and Vehicle Waste**

28. Debris generated due to the dismantling of the existing structures shall be suitably reused, to the extent feasible, in the proposed construction (e.g. as fill materials for embankments). The disposal of remaining debris shall be carried out only at sites identified and approved by the project engineer. The contractor should ensure that these sites (a) are not located within designated forest areas; (b) do not impact natural drainage courses; and (c) do not impact endangered/rare flora. Under no circumstances shall the contractor dispose of any material in environmentally sensitive areas.

29. In the event any debris or silt from the sites is deposited on adjacent land, the Contractor shall immediately remove such, debris or silt and restore the affected area to its original state to the satisfaction of the Supervisor/Engineer.

30. Bentonite slurry or similar debris generated from pile driving or other construction activities shall be disposed of to avoid overflow into the surface water bodies or form mud puddles in the area.

31. All arrangements for transportation during construction including provision, maintenance, dismantling and clearing debris, where necessary, will be considered incidental to the work and should be planned and implemented by the contractor as approved and directed by the Engineer.

32. Vehicle/machinery and equipment operations, maintenance and refueling shall be carried out to avoid spillage of fuels and lubricants and ground contamination. An "oil interceptor" will be provided for wash down and refueling areas. Fuel storage shall be located in proper bunded areas.

33. All spills and collected petroleum products shall be disposed of in accordance with standard environmental procedures/guidelines. Fuel storage and refilling areas shall be located at

least 300m from all cross drainage structures and important water bodies or as directed by the Engineer.

**VIII. HIV/AIDS Education**

34. The Contractor shall ensure that detection screening of sexually transmitted diseases, especially with regard to HIV/AIDS, amongst laborers is actually carried out and will submit a certificate of compliance.

**Attachment 7: Environment, Health, and Safety Guidelines**

(Please see the following pages.)

# Environmental, Health, and Safety General Guidelines

## Introduction

The Environmental, Health, and Safety (EHS) Guidelines are technical reference documents with general and industry-specific examples of Good International Industry Practice (GIIP)<sup>1</sup>. When one or more members of the World Bank Group are involved in a project, these EHS Guidelines are applied as required by their respective policies and standards. These **General EHS Guidelines** are designed to be used together with the relevant **Industry Sector EHS Guidelines** which provide guidance to users on EHS issues in specific industry sectors. For complex projects, use of multiple industry-sector guidelines may be necessary. A complete list of industry-sector guidelines can be found at:

[www.ifc.org/ifcext/enviro.nsf/Content/EnvironmentalGuidelines](http://www.ifc.org/ifcext/enviro.nsf/Content/EnvironmentalGuidelines)

The EHS Guidelines contain the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable costs. Application of the EHS Guidelines to existing facilities may involve the establishment of site-specific targets, with an appropriate timetable for achieving them. The applicability of the EHS Guidelines should be tailored to the hazards and risks established for each project on the basis of the results of an environmental assessment<sup>2</sup> in which site-specific variables, such as host country context, assimilative capacity of the environment, and other project factors, are taken into account. The applicability of specific technical recommendations should be

<sup>1</sup> Defined as the exercise of professional skill, diligence, prudence and foresight that would be reasonably expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally. The circumstances that skilled and experienced professionals may find when evaluating the range of pollution prevention and control techniques available to a project may include, but are not limited to, varying levels of environmental degradation and environmental assimilative capacity as well as varying levels of financial and technical feasibility.

<sup>2</sup> For IFC, such assessment is carried out consistent with Performance Standard 1, and for the World Bank, with Operational Policy 4.01.

based on the professional opinion of qualified and experienced persons. When host country regulations differ from the levels and measures presented in the EHS Guidelines, projects are expected to achieve whichever is more stringent. If less stringent levels or measures than those provided in these EHS Guidelines are appropriate, in view of specific project circumstances, a full and detailed justification for any proposed alternatives is needed as part of the site-specific environmental assessment. This justification should demonstrate that the choice for any alternate performance levels is protective of human health and the environment.

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## General Approach to the Management of EHS Issues at the Facility or Project Level

Effective management of environmental, health, and safety (EHS) issues entails the inclusion of EHS considerations into corporate- and facility-level business processes in an organized, hierarchical approach that includes the following steps:

- Identifying EHS project hazards<sup>3</sup> and associated risks<sup>4</sup> as early as possible in the facility development or project cycle, including the incorporation of EHS considerations into the site selection process, product design process, engineering planning process for capital requests, engineering work orders, facility modification authorizations, or layout and process change plans.
- Involving EHS professionals, who have the experience, competence, and training necessary to assess and manage EHS impacts and risks, and carry out specialized environmental management functions including the preparation of project or activity-specific plans and procedures that incorporate the technical recommendations presented in this document that are relevant to the project.
- Understanding the likelihood and magnitude of EHS risks, based on:
  - The nature of the project activities, such as whether the project will generate significant quantities of emissions or effluents, or involve hazardous materials or processes;
  - The potential consequences to workers, communities, or the environment if hazards are not adequately managed, which may depend on the proximity of project activities to

people or to the environmental resources on which they depend.

- Prioritizing risk management strategies with the objective of achieving an overall reduction of risk to human health and the environment, focusing on the prevention of irreversible and / or significant impacts.
- Favoring strategies that eliminate the cause of the hazard at its source, for example, by selecting less hazardous materials or processes that avoid the need for EHS controls.
- When impact avoidance is not feasible, incorporating engineering and management controls to reduce or minimize the possibility and magnitude of undesired consequences, for example, with the application of pollution controls to reduce the levels of emitted contaminants to workers or environments.
- Preparing workers and nearby communities to respond to accidents, including providing technical and financial resources to effectively and safely control such events, and restoring workplace and community environments to a safe and healthy condition.
- Improving EHS performance through a combination of ongoing monitoring of facility performance and effective accountability.

<sup>3</sup> Defined as "threats to humans and what they value" (Kates, et al., 1985).

<sup>4</sup> Defined as "quantitative measures of hazard consequences, usually expressed as conditional probabilities of experiencing harm" (Kates, et. al., 1985)

# 1.0 Environmental

## 1.1 Air Emissions and Ambient Air Quality

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### Applicability and Approach

This guideline applies to facilities or projects that generate emissions to air at any stage of the project life-cycle. It complements the industry-specific emissions guidance presented in the Industry Sector Environmental, Health, and Safety (EHS) Guidelines by providing information about common techniques for emissions management that may be applied to a range of industry sectors. This guideline provides an approach to the management of significant sources of emissions, including specific guidance for assessment and monitoring of impacts. It is also intended to provide additional information on approaches to emissions management in projects located in areas of poor air quality, where it may be necessary to establish project-specific emissions standards.

Emissions of air pollutants can occur from a wide variety of activities during the construction, operation, and decommissioning phases of a project. These activities can be categorized based on

the spatial characteristic of the source including point sources, fugitive sources, and mobile sources and, further, by process, such as combustion, materials storage, or other industry sector-specific processes.

Where possible, facilities and projects should avoid, minimize, and control adverse impacts to human health, safety, and the environment from emissions to air. Where this is not possible, the generation and release of emissions of any type should be managed through a combination of:

- Energy use efficiency
- Process modification
- Selection of fuels or other materials, the processing of which may result in less polluting emissions
- Application of emissions control techniques

The selected prevention and control techniques may include one or more methods of treatment depending on:

- Regulatory requirements
- Significance of the source
- Location of the emitting facility relative to other sources
- Location of sensitive receptors
- Existing ambient air quality, and potential for degradation of the airshed from a proposed project
- Technical feasibility and cost effectiveness of the available options for prevention, control, and release of emissions

## Ambient Air Quality

### General Approach

Projects with significant<sup>5,6</sup> sources of air emissions, and potential for significant impacts to ambient air quality, should prevent or minimize impacts by ensuring that:

- Emissions do not result in pollutant concentrations that reach or exceed relevant ambient quality guidelines and standards<sup>9</sup> by applying national legislated standards, or in their absence, the current WHO Air Quality Guidelines<sup>10</sup> (see Table 1.1.1), or other internationally recognized sources<sup>11</sup>;
- Emissions do not contribute a significant portion to the attainment of relevant ambient air quality guidelines or standards. As a general rule, this Guideline suggests 25 percent of the applicable air quality standards to allow

<sup>5</sup> Significant sources of point and fugitive emissions are considered to be general sources which, for example, can contribute a net emissions increase of one or more of the following pollutants within a given airshed: PM<sub>10</sub>: 50 tons per year (tpy); NO<sub>x</sub>: 500 tpy; SO<sub>2</sub>: 500 tpy; or as established through national legislation; and combustion sources with an equivalent heat input of 50 MWth or greater. The significance of emissions of inorganic and organic pollutants should be established on a project-specific basis taking into account toxic and other properties of the pollutant.

<sup>6</sup> United States Environmental Protection Agency, Prevention of Significant Deterioration of Air Quality, 40 CFR Ch. 1 Part 52.21. Other references for establishing significant emissions include the European Commission. 2000. "Guidance Document for EPER implementation." <http://ec.europa.eu/environment/ppc/eper/index.htm>; and Australian Government. 2004. "National Pollutant Inventory Guide." <http://www.npi.gov.au/handbooks/pubs/npiguide.pdf>

<sup>7</sup> World Health Organization (WHO). Air Quality Guidelines Global Update, 2005. PM 24-hour value is the 99th percentile.

<sup>8</sup> Interim targets are provided in recognition of the need for a staged approach to achieving the recommended guidelines.

<sup>9</sup> Ambient air quality standards are ambient air quality levels established and published through national legislative and regulatory processes, and ambient quality guidelines refer to ambient quality levels primarily developed through clinical, toxicological, and epidemiological evidence (such as those published by the World Health Organization).

<sup>10</sup> Available at World Health Organization (WHO). <http://www.who.int/en>

<sup>11</sup> For example the United States National Ambient Air Quality Standards (NAAQS) (<http://www.epa.gov/air/criteria.html>) and the relevant European Council Directives (Council Directive 1999/30/EC of 22 April 1999 / Council Directive 2002/3/EC of February 12 2002).

additional, future sustainable development in the same airshed.<sup>12</sup>

At facility level, impacts should be estimated through qualitative or quantitative assessments by the use of baseline air quality assessments and atmospheric dispersion models to assess potential ground level concentrations. Local atmospheric, climatic, and air quality data should be applied when modeling dispersion, protection against atmospheric downwash, wakes, or eddy effects of the source, nearby<sup>13</sup> structures, and terrain features. The dispersion model applied should be internationally recognized, or comparable. Examples of acceptable emission estimation and dispersion modeling approaches for point and fugitive sources are

**Table 1.1.1: WHO Ambient Air Quality Guidelines<sup>7, 8</sup>**

	Averaging Period	Guideline value in mg/m <sup>3</sup>
Sulfur dioxide (SO <sub>2</sub> )	24-hour	125 (Interim target-1) 50 (Interim target-2) 20 (guideline)
	10 minute	500 (guideline)
Nitrogen dioxide (NO <sub>2</sub> )	1-year	40 (guideline)
	1-hour	200 (guideline)
Particulate Matter PM <sub>10</sub>	1-year	70 (Interim target-1) 50 (Interim target-2) 30 (Interim target-3) 20 (guideline)
	24-hour	150 (Interim target-1) 100 (Interim target-2) 75 (Interim target-3) 50 (guideline)
Particulate Matter PM <sub>2.5</sub>	1-year	35 (Interim target-1) 25 (Interim target-2) 15 (Interim target-3) 10 (guideline)
	24-hour	75 (Interim target-1) 50 (Interim target-2) 37.5 (Interim target-3) 25 (guideline)
Ozone	8-hour daily maximum	160 (Interim target-1) 100 (guideline)

<sup>12</sup> US EPA Prevention of Significant Deterioration Increments Limits applicable to non-degraded airsheds.

included in Annex 1.1.1. These approaches include screening models for single source evaluations (SCREEN3 or AIRSCREEN), as well as more complex and refined models (AERMOD OR ADMS). Model selection is dependent on the complexity and geomorphology of the project site (e.g. mountainous terrain, urban or rural area).

### *Projects Located in Degraded Airsheds or Ecologically Sensitive Areas*

Facilities or projects located within poor quality airsheds<sup>14</sup>, and within or next to areas established as ecologically sensitive (e.g. national parks), should ensure that any increase in pollution levels is as small as feasible, and amounts to a fraction of the applicable short-term and annual average air quality guidelines or standards as established in the project-specific environmental assessment. Suitable mitigation measures may also include the relocation of significant sources of emissions outside the airshed in question, use of cleaner fuels or technologies, application of comprehensive pollution control measures, offset activities at installations controlled by the project sponsor or other facilities within the same airshed, and buy-down of emissions within the same airshed.

Specific provisions for minimizing emissions and their impacts in poor air quality or ecologically sensitive airsheds should be established on a project-by-project or industry-specific basis. Offset provisions outside the immediate control of the project sponsor or buy-downs should be monitored and enforced by the local agency responsible for granting and monitoring emission permits. Such provisions should be in place prior to final commissioning of the facility / project.

### *Point Sources*

Point sources are discrete, stationary, identifiable sources of emissions that release pollutants to the atmosphere. They are typically located in manufacturing or production plants. Within a given point source, there may be several individual 'emission points' that comprise the point source.<sup>15</sup>

Point sources are characterized by the release of air pollutants typically associated with the combustion of fossil fuels, such as nitrogen oxides (NO<sub>x</sub>), sulfur dioxide (SO<sub>2</sub>), carbon monoxide (CO), and particulate matter (PM), as well as other air pollutants including certain volatile organic compounds (VOCs) and metals that may also be associated with a wide range of industrial activities.

Emissions from point sources should be avoided and controlled according to good international industry practice (GIIP) applicable to the relevant industry sector, depending on ambient conditions, through the combined application of process modifications and emissions controls, examples of which are provided in Annex 1.1.2. Additional recommendations regarding stack height and emissions from small combustion facilities are provided below.

### *Stack Height*

The stack height for all point sources of emissions, whether 'significant' or not, should be designed according to GIIP (see Annex 1.1.3) to avoid excessive ground level concentrations due to downwash, wakes, and eddy effects, and to ensure reasonable diffusion to minimize impacts. For projects where there are multiple sources of emissions, stack heights should be established with due consideration to emissions from all other project sources, both point and fugitive. Non-significant sources of emissions,

<sup>13</sup> "Nearby" generally considers an area within a radius of up to 20 times the stack height.

<sup>14</sup> An airshed should be considered as having poor air quality if nationally legislated air quality standards or WHO Air Quality Guidelines are exceeded significantly.

<sup>15</sup> Emission points refer to a specific stack, vent, or other discrete point of pollution release. This term should not be confused with point source, which is a regulatory distinction from area and mobile sources. The characterization of point sources into multiple emissions points is useful for allowing more detailed reporting of emissions information.

including small combustion sources,<sup>16</sup> should also use GIP in stack design.

### *Small Combustion Facilities Emissions Guidelines*

Small combustion processes are systems designed to deliver electrical or mechanical power, steam, heat, or any combination of these, regardless of the fuel type, with a total, rated heat input capacity of between three Megawatt thermal (MWth) and 50 MWth.

The emissions guidelines in Table 1.1.2 are applicable to small combustion process installations operating more than 500 hours per year, and those with an annual capacity utilization of more than 30 percent. Plants firing a mixture of fuels should compare emissions performance with these guidelines based on the sum of the relative contribution of each applied fuel<sup>17</sup>. Lower emission values may apply if the proposed facility is located in an ecologically sensitive airshed, or airshed with poor air quality, in order to address potential cumulative impacts from the installation of more than one small combustion plant as part of a distributed generation project.

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<sup>16</sup> Small combustion sources are those with a total rated heat input capacity of 50MWth or less.

<sup>17</sup> The contribution of a fuel is the percentage of heat input (LHV) provided by this fuel multiplied by its limit value.

**Table 1.1.2 - Small Combustion Facilities Emissions Guidelines (3MWth – 50MWth) – (in mg/Nm<sup>3</sup> or as indicated)**

Combustion Technology / Fuel	Particulate Matter (PM)	Sulfur Dioxide (SO <sub>2</sub> )	Nitrogen Oxides (NO <sub>x</sub> )	Dry Gas, Excess O <sub>2</sub> Content (%)
<b>Engine</b>				
<b>Gas</b>	N/A	N/A	200 (Spark Ignition) 400 (Dual Fuel) 1,600 (Compression Ignition)	15
<b>Liquid</b>	50 or up to 100 if justified by project specific considerations (e.g. Economic feasibility of using lower ash content fuel, or adding secondary treatment to meet 50, and available environmental capacity of the site)	1.5 percent Sulfur or up to 3.0 percent Sulfur if justified by project specific considerations (e.g. Economic feasibility of using lower S content fuel, or adding secondary treatment to meet levels of using 1.5 percent Sulfur, and available environmental capacity of the site)	If bore size diameter [mm] < 400: 1460 (or up to 1,600 if justified to maintain high energy efficiency.)  If bore size diameter [mm] > or = 400: 1,850	15
<b>Turbine</b>				
<b>Natural Gas</b> =3MWth to < 15MWth	N/A	N/A	42 ppm (Electric generation) 100 ppm (Mechanical drive)	15
<b>Natural Gas</b> =15MWth to < 50MWth	N/A	N/A	25 ppm	15
<b>Fuels other than Natural Gas</b> =3MWth to < 15MWth	N/A	0.5 percent Sulfur or lower percent Sulfur (e.g. 0.2 percent Sulfur) if commercially available without significant excess fuel cost	96 ppm (Electric generation) 150 ppm (Mechanical drive)	15
<b>Fuels other than Natural Gas</b> =15MWth to < 50MWth	N/A	0.5% S or lower % S (0.2%S) if commercially available without significant excess fuel cost	74 ppm	15
<b>Boiler</b>				
<b>Gas</b>	N/A	N/A	320	3
<b>Liquid</b>	50 or up to 150 if justified by environmental assessment	2000	460	3
<b>Solid</b>	50 or up to 150 if justified by environmental assessment	2000	650	6

Notes: -N/A/ - no emissions guideline; Higher performance levels than these in the Table should be applicable to facilities located in urban / industrial areas with degraded airsheds or close to ecologically sensitive areas where more stringent emissions controls may be needed.; MWth is heat input on HHV basis; Solid fuels include biomass; Nm<sup>3</sup> is at one atmosphere pressure, 0°C.; MWth category is to apply to the entire facility consisting of multiple units that are reasonably considered to be emitted from a common stack except for NO<sub>x</sub> and PM limits for turbines and boilers. Guidelines values apply to facilities operating more than 500 hours per year with an annual capacity utilization factor of more than 30 percent.

## Fugitive Sources

Fugitive source air emissions refer to emissions that are distributed spatially over a wide area and not confined to a specific discharge point. They originate in operations where exhausts are not captured and passed through a stack. Fugitive emissions have the potential for much greater ground-level impacts per unit than stationary source emissions, since they are discharged and dispersed close to the ground. The two main types of fugitive emissions are Volatile Organic Compounds (VOCs) and particulate matter (PM). Other contaminants (NO<sub>x</sub>, SO<sub>2</sub> and CO) are mainly associated with combustion processes, as described above. Projects with potentially significant fugitive sources of emissions should establish the need for ambient quality assessment and monitoring practices.

Open burning of solid wastes, whether hazardous or non-hazardous, is not considered good practice and should be avoided, as the generation of polluting emissions from this type of source cannot be controlled effectively.

### *Volatile Organic Compounds (VOCs)*

The most common sources of fugitive VOC emissions are associated with industrial activities that produce, store, and use VOC-containing liquids or gases where the material is under pressure, exposed to a lower vapor pressure, or displaced from an enclosed space. Typical sources include equipment leaks, open vats and mixing tanks, storage tanks, unit operations in wastewater treatment systems, and accidental releases. Equipment leaks include valves, fittings, and elbows which are subject to leaks under pressure. The recommended prevention and control techniques for VOC emissions associated with equipment leaks include:

- Equipment modifications, examples of which are presented in Annex 1.1.4;

- Implementing a leak detection and repair (LDAR) program that controls fugitive emissions by regularly monitoring to detect leaks, and implementing repairs within a predefined time period.<sup>18</sup>

For VOC emissions associated with handling of chemicals in open vats and mixing processes, the recommended prevention and control techniques include:

- Substitution of less volatile substances, such as aqueous solvents;
- Collection of vapors through air extractors and subsequent treatment of gas stream by removing VOCs with control devices such as condensers or activated carbon absorption;
- Collection of vapors through air extractors and subsequent treatment with destructive control devices such as:
  - Catalytic Incinerators: Used to reduce VOCs from process exhaust gases exiting paint spray booths, ovens, and other process operations
  - Thermal Incinerators: Used to control VOC levels in a gas stream by passing the stream through a combustion chamber where the VOCs are burned in air at temperatures between 700° C to 1,300° C
  - Enclosed Oxidizing Flares: Used to convert VOCs into CO<sub>2</sub> and H<sub>2</sub>O by way of direct combustion
- Use of floating roofs on storage tanks to reduce the opportunity for volatilization by eliminating the headspace present in conventional storage tanks.

### *Particulate Matter (PM)*

The most common pollutant involved in fugitive emissions is dust or particulate matter (PM). This is released during certain operations, such as transport and open storage of solid materials, and from exposed soil surfaces, including unpaved roads.

<sup>18</sup> For more information, see Leak Detection and Repair Program (LDAR), at: <http://www.ldr.net>

Recommended prevention and control of these emissions sources include:

- Use of dust control methods, such as covers, water suppression, or increased moisture content for open materials storage piles, or controls, including air extraction and treatment through a baghouse or cyclone for material handling sources, such as conveyors and bins;
- Use of water suppression for control of loose materials on paved or unpaved road surfaces. Oil and oil by-products is not a recommended method to control road dust. Examples of additional control options for unpaved roads include those summarized in Annex 1.1.5.

### *Ozone Depleting Substances (ODS)*

Several chemicals are classified as ozone depleting substances (ODSs) and are scheduled for phase-out under the Montreal Protocol on Substances that Deplete the Ozone Layer.<sup>19</sup> No new systems or processes should be installed using CFCs, halons, 1,1,1-trichloroethane, carbon tetrachloride, methyl bromide or HBFCs. HCFCs should only be considered as interim / bridging alternatives as determined by the host country commitments and regulations.<sup>20</sup>

### **Mobile Sources – Land-based**

Similar to other combustion processes, emissions from vehicles include CO, NO<sub>x</sub>, SO<sub>2</sub>, PM and VOCs. Emissions from on-road and off-road vehicles should comply with national or regional

<sup>19</sup> Examples include: chlorofluorocarbons (CFCs); halons; 1,1,1-trichloroethane (methyl chloroform); carbon tetrachloride; hydrochlorofluorocarbons (HCFCs); hydrobromofluorocarbons (HBFCs); and methyl bromide. They are currently used in a variety of applications including: domestic, commercial, and process refrigeration (CFCs and HCFCs); domestic, commercial, and motor vehicle air conditioning (CFCs and HCFCs); for manufacturing foam products (CFCs); for solvent cleaning applications (CFCs, HCFCs, methyl chloroform, and carbon tetrachloride); as aerosol propellants (CFCs); in fire protection systems (halons and HBFCs); and as crop fumigants (methyl bromide).

<sup>20</sup> Additional information is available through the Montreal Protocol Secretariat web site available at: <http://ozone.unep.org/>

programs. In the absence of these, the following approach should be considered:

- Regardless of the size or type of vehicle, fleet owners / operators should implement the manufacturer recommended engine maintenance programs;
- Drivers should be instructed on the benefits of driving practices that reduce both the risk of accidents and fuel consumption, including measured acceleration and driving within safe speed limits;
- Operators with fleets of 120 or more units of heavy duty vehicles (buses and trucks), or 540 or more light duty vehicles<sup>21</sup> (cars and light trucks) within an airshed should consider additional ways to reduce potential impacts including:
  - Replacing older vehicles with newer, more fuel efficient alternatives
  - Converting high-use vehicles to cleaner fuels, where feasible
  - Installing and maintaining emissions control devices, such as catalytic converters
  - Implementing a regular vehicle maintenance and repair program

### **Greenhouse Gases (GHGs)**

Sectors that may have potentially significant emissions of greenhouse gases (GHGs)<sup>22</sup> include energy, transport, heavy industry (e.g. cement production, iron / steel manufacturing, aluminum smelting, petrochemical industries, petroleum refining, fertilizer manufacturing), agriculture, forestry and waste management. GHGs may be generated from direct emissions

<sup>21</sup> The selected fleet size thresholds are assumed to represent potentially significant sources of emissions based on individual vehicles traveling 100,000 km / yr using average emission factors.

<sup>22</sup> The six greenhouse gases that form part of the Kyoto Protocol to the United Nations Framework Convention on Climate Change include carbon dioxide (CO<sub>2</sub>); methane (CH<sub>4</sub>); nitrous oxide (N<sub>2</sub>O); hydrofluorocarbons (HFCs); perfluorocarbons (PFCs); and sulfur hexafluoride (SF<sub>6</sub>).

from facilities within the physical project boundary and indirect emissions associated with the off-site production of power used by the project.

Recommendations for reduction and control of greenhouse gases include:

- Carbon financing;<sup>23</sup>
- Enhancement of energy efficiency (see section on 'Energy Conservation');
- Protection and enhancement of sinks and reservoirs of greenhouse gases;
- Promotion of sustainable forms of agriculture and forestry;
- Promotion, development and increased use of renewable forms of energy;
- Carbon capture and storage technologies;<sup>24</sup>
- Limitation and / or reduction of methane emissions through recovery and use in waste management, as well as in the production, transport and distribution of energy (coal, oil, and gas).

## Monitoring

Emissions and air quality monitoring programs provide information that can be used to assess the effectiveness of emissions management strategies. A systematic planning process is recommended to ensure that the data collected are adequate for their intended purposes (and to avoid collecting unnecessary data). This process, sometimes referred to as a data quality objectives process, defines the purpose of collecting the data, the

decisions to be made based on the data and the consequences of making an incorrect decision, the time and geographic boundaries, and the quality of data needed to make a correct decision.<sup>25</sup> The air quality monitoring program should consider the following elements:

- *Monitoring parameters:* The monitoring parameters selected should reflect the pollutants of concern associated with project processes. For combustion processes, indicator parameters typically include the quality of inputs, such as the sulfur content of fuel.
- *Baseline calculations:* Before a project is developed, baseline air quality monitoring at and in the vicinity of the site should be undertaken to assess background levels of key pollutants, in order to differentiate between existing ambient conditions and project-related impacts.
- *Monitoring type and frequency:* Data on emissions and ambient air quality generated through the monitoring program should be representative of the emissions discharged by the project over time. Examples of time-dependent variations in the manufacturing process include batch process manufacturing and seasonal process variations. Emissions from highly variable processes may need to be sampled more frequently or through composite methods. Emissions monitoring frequency and duration may also range from continuous for some combustion process operating parameters or inputs (e.g. the quality of fuel) to less frequent, monthly, quarterly or yearly stack tests.
- *Monitoring locations:* Ambient air quality monitoring may consist of off-site or fence line monitoring either by the project sponsor, the competent government agency, or by collaboration between both. The location of ambient air

<sup>23</sup> Carbon financing as a carbon emissions reduction strategy may include the host government-endorsed Clean Development Mechanism or Joint Implementation of the United Nations Framework Convention on Climate Change.

<sup>24</sup> Carbon dioxide capture and storage (CCS) is a process consisting of the separation of CO<sub>2</sub> from industrial and energy-related sources; transport to a storage location; and long-term isolation from the atmosphere, for example in geological formations, in the ocean, or in mineral carbonates (reaction of CO<sub>2</sub> with metal oxides in silicate minerals to produce stable carbonates). It is the object of intensive research worldwide (Intergovernmental Panel on Climate Change (IPCC), Special Report, Carbon Dioxide Capture and Storage (2006).

<sup>25</sup> See, for example, United States Environmental Protection Agency, Guidance on Systematic Planning Using the Data Quality Objectives Process EPA QA/G-4, EPA/240/B-06/001 February 2006.

quality monitoring stations should be established based on the results of scientific methods and mathematical models to estimate potential impact to the receiving airshed from an emissions source taking into consideration such aspects as the location of potentially affected communities and prevailing wind directions.

- *Sampling and analysis methods:* Monitoring programs should apply national or international methods for sample collection and analysis, such as those published by the International Organization for Standardization,<sup>26</sup> the European Committee for Standardization,<sup>27</sup> or the U.S. Environmental Protection Agency.<sup>28</sup> Sampling should be conducted by, or under, the supervision of trained individuals. Analysis should be conducted by entities permitted or certified for this purpose. Sampling and analysis Quality Assurance / Quality Control (QA/QC) plans should be applied and documented to ensure that data quality is adequate for the intended data use (e.g., method detection limits are below levels of concern). Monitoring reports should include QA/QC documentation.

### *Monitoring of Small Combustion Plants Emissions*

- Additional recommended monitoring approaches for **boilers:**

*Boilers with capacities between =3 MWth and < 20 MWth:*

- Annual Stack Emission Testing: SO<sub>2</sub>, NO<sub>x</sub> and PM. For gaseous fuel-fired boilers, only NO<sub>x</sub>. SO<sub>2</sub> can be calculated based on fuel quality certification if no SO<sub>2</sub> control equipment is used.

<sup>26</sup> An on-line catalogue of ISO standards relating to the environment, health protection, and safety is available at: <http://www.iso.org/iso/en/CatalogueListPage.CatalogueList?ICS1=13&ICS2=&ICS3=&scopelist=>

<sup>27</sup> An on-line catalogue of European Standards is available at: <http://www.cen.eu/catweb/cwen.htm>.

<sup>28</sup> The National Environmental Methods Index provides a searchable clearinghouse of U.S. methods and procedures for both regulatory and non-regulatory monitoring purposes for water, sediment, air and tissues, and is available at <http://www.nemi.gov/>.

- If Annual Stack Emission Testing demonstrates results consistently and significantly better than the required levels, frequency of Annual Stack Emission Testing can be reduced from annual to every two or three years.
- Emission Monitoring: None

*Boilers with capacities between =20 MWth and < 50 MWth*

- Annual Stack Emission Testing: SO<sub>2</sub>, NO<sub>x</sub> and PM. For gaseous fuel-fired boilers, only NO<sub>x</sub>. SO<sub>2</sub> can be calculated based on fuel quality certification (if no SO<sub>2</sub> control equipment is used)
- Emission Monitoring: SO<sub>2</sub>. Plants with SO<sub>2</sub> control equipment: Continuous. NO<sub>x</sub>: Continuous monitoring of either NO<sub>x</sub> emissions or indicative NO<sub>x</sub> emissions using combustion parameters. PM: Continuous monitoring of either PM emissions, opacity, or indicative PM emissions using combustion parameters / visual monitoring.
- Additional recommended monitoring approaches for **turbines:**
  - Annual Stack Emission Testing: NO<sub>x</sub> and SO<sub>2</sub> (NO<sub>x</sub> only for gaseous fuel-fired turbines).
  - If Annual Stack Emission Testing results show constantly (3 consecutive years) and significantly (e.g. less than 75 percent) better than the required levels, frequency of Annual Stack Emission Testing can be reduced from annual to every two or three years.
  - Emission Monitoring: NO<sub>x</sub>: Continuous monitoring of either NO<sub>x</sub> emissions or indicative NO<sub>x</sub> emissions using combustion parameters. SO<sub>2</sub>: Continuous monitoring if SO<sub>2</sub> control equipment is used.
- Additional recommended monitoring approaches for **engines:**
  - Annual Stack Emission Testing: NO<sub>x</sub>, SO<sub>2</sub> and PM (NO<sub>x</sub> only for gaseous fuel-fired diesel engines).

- If Annual Stack Emission Testing results show constantly (3 consecutive years) and significantly (e.g. less than 75 percent) better than the required levels, frequency of Annual Stack Emission Testing can be reduced from annual to every two or three years.
- Emission Monitoring: NO<sub>x</sub>: Continuous monitoring of either NO<sub>x</sub> emissions or indicative NO<sub>x</sub> emissions using combustion parameters. SO<sub>2</sub>: Continuous monitoring if SO<sub>2</sub> control equipment is used. PM: Continuous monitoring of either PM emissions or indicative PM emissions using operating parameters.

## Annex 1.1.1 – Air Emissions Estimation and Dispersion

### Modeling Methods

The following is a partial list of documents to aid in the estimation of air emissions from various processes and air dispersion models:

Australian Emission Estimation Technique Manuals

<http://www.npi.gov.au/handbooks/>

Atmospheric Emission Inventory Guidebook, UN / ECE / EMEP  
and the European Environment Agency

<http://www.aeat.co.uk/netcen/airqual/TFEI/unece.htm>

Emission factors and emission estimation methods, US EPA  
Office of Air Quality Planning & Standards

<http://www.epa.gov/ttn/chief>

Guidelines on Air Quality Models (Revised), US Environmental  
Protection Agency (EPA), 2005

[http://www.epa.gov/scram001/guidance/guide/appw\\_05.pdf](http://www.epa.gov/scram001/guidance/guide/appw_05.pdf)

Frequently Asked Questions, Air Quality Modeling and  
Assessment Unit (AQMAU), UK Environment Agency

[http://www.environment-  
agency.gov.uk/subjects/airquality/236092/?version=1&lang=\\_e](http://www.environment-agency.gov.uk/subjects/airquality/236092/?version=1&lang=_e)

OECD Database on Use and Release of Industrial Chemicals

<http://www.olis.oecd.org/ehs/urchem.nsf/>

**Annex 1.1.2 – Illustrative Point Source Air Emissions Prevention and Control Technologies**

Principal Sources and Issues	General Prevention / Process Modification Approach	Control Options	Reduction Efficiency (%)	Gas Condition	Comments
<b>Particulate Matter (PM)</b>					
Main sources are the combustion of fossil fuels and numerous manufacturing processes that collect PM through air extraction and ventilation systems. Volcanoes, ocean spray, forest fires and blowing dust (most prevalent in dry and semiarid climates) contribute to background levels.	Fuel switching (e.g. selection of lower sulfur fuels) or reducing the amount of fine particulates added to a process.	Fabric Filters	99 - 99.7%	Dry gas, temp <400F	Applicability depends on flue gas properties including temperature, chemical properties, abrasion and load. Typical air to cloth ratio range of 2.0 to 3.5 cfm/ft <sup>2</sup> . Achievable outlet concentrations of 23 mg/Nm <sup>3</sup>
		Electrostatic Precipitator (ESP)	97 – 99%	Varies depending of particle type	Precondition gas to remove large particles. Efficiency dependent on resistivity of particle. Achievable outlet concentration of 23 mg/Nm <sup>3</sup>
		Cyclone	74 – 95%	None	Most efficient for large particles. Achievable outlet concentrations of 30 - 40 mg/Nm <sup>3</sup>
		Wet Scrubber	93 – 95%	None	Wet sludge may be a disposal problem depending on local infrastructure. Achievable outlet concentrations of 30 - 40 mg/Nm <sup>3</sup>
<b>Sulfur Dioxide (SO<sub>2</sub>)</b>					
Mainly produced by the combustion of fuels such as oil and coal and as a by-product from some chemical production or wastewater treatment processes.	Control system selection is heavily dependent on the inlet concentration. For SO <sub>2</sub> concentrations in excess of 10%, the stream is passed through an acid plant not only to lower the SO <sub>2</sub> emissions but also to generate high grade sulfur for sale. Levels below 10% are not rich enough for this process and should therefore utilize absorption or 'scrubbing,' where SO <sub>2</sub> molecules are captured into a liquid phase or adsorption, where SO <sub>2</sub> molecules are captured on the surface of a solid adsorbent.	Fuel Switching	>90%		Alternate fuels may include low sulfur coal, light diesel or natural gas with consequent reduction in particulate emissions related to sulfur in the fuel. Fuel cleaning or beneficiation of fuels prior to combustion is another viable option but may have economic consequences.
		Sorbent Injection	30% - 70%		Calcium or lime is injected into the flue gas and the SO <sub>2</sub> is adsorbed onto the sorbent
		Dry Flue Gas Desulfurization	70%-90%		Can be regenerable or throwaway.
		Wet Flue Gas Desulfurization	>90%		Produces gypsum as a by-product

### Annex 1.1.2: Illustrative Point Source Air Emissions Prevention and Control Technologies (continued)

Oxides of Nitrogen (NO <sub>x</sub> )		Percent Reduction by Fuel Type			Comments				
<p>Associated with combustion of fuel. May occur in several forms of nitrogen oxide; namely nitric oxide (NO), nitrogen dioxide (NO<sub>2</sub>) and nitrous oxide (N<sub>2</sub>O), which is also a greenhouse gas. The term NO<sub>x</sub> serves as a composite between NO and NO<sub>2</sub> and emissions are usually reported as NO<sub>x</sub>. Here the NO is multiplied by the ratio of molecular weights of NO<sub>2</sub> to NO and added to the NO<sub>2</sub> emissions.</p> <p>Means of reducing NO<sub>x</sub> emissions are based on the modification of operating conditions such as minimizing the resident time at peak temperatures, reducing the peak temperatures by increasing heat transfer rates or minimizing the availability of oxygen.</p>	<b>Combustion modification</b> (Illustrative of boilers)	<b>Coal</b>	<b>Oil</b>	<b>Gas</b>	<p>These modifications are capable of reducing NO<sub>x</sub> emissions by 50 to 95%. The method of combustion control used depends on the type of boiler and the method of firing fuel.</p>				
	Low-excess-air firing	10–30	10–30	10–30					
	Staged Combustion	20–50	20–50	20–50					
	Flue Gas Recirculation	N/A	20–50	20–50					
	Water/Steam Injection	N/A	10–50	N/A					
	Low-NO <sub>x</sub> Burners	30–40	30–40	30–40					
	<b>Flue Gas Treatment</b>	<b>Coal</b>	<b>Oil</b>	<b>Gas</b>	<p>Flue gas treatment is more effective in reducing NO<sub>x</sub> emissions than are combustion controls. Techniques can be classified as SCR, SNCR, and adsorption. SCR involves the injection of ammonia as a reducing agent to convert NO<sub>x</sub> to nitrogen in the presence of a catalyst in a converter upstream of the air heater. Generally, some ammonia slips through and is part of the emissions. SNCR also involves the injection of ammonia or urea based products without the presence of a catalyst.</p>				
	Selective Catalytic Reduction (SCR)	60–90	60–90	60–90					
	Selective Non-Catalytic Reduction (SNCR)	N/A	30–70	30–70					

Note: Compiled by IFC based on inputs from technical experts.

**Annex 1.1.3 - Good International Industry Practice (GIIP)**

**Annex 1.1.4 - Examples of VOC Emissions Controls**

**Stack Height**

(Based on United States 40 CFR, part 51.100 (ii)).

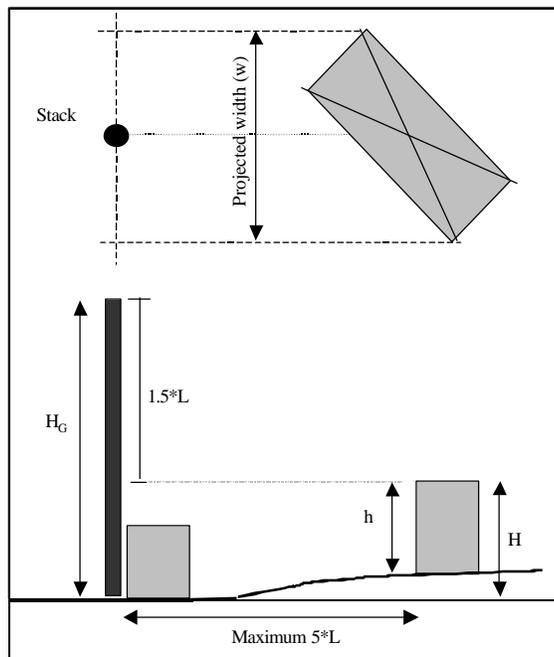
$H_G = H + 1.5L$ ; where

$H_G$  = GEP stack height measured from the ground level elevation at the base of the stack

$H$  = Height of nearby structure(s) above the base of the stack.

$L$  = Lesser dimension, height ( $h$ ) or width ( $w$ ), of nearby structures

"Nearby structures" = Structures within/touching a radius of  $5L$  but less than 800 m.



Equipment Type	Modification	Approximate Control Efficiency (%)
Pumps	Seal-less design	100 <sup>29</sup>
	Closed-vent system	90 <sup>30</sup>
	Dual mechanical seal with barrier fluid maintained at a higher pressure than the pumped fluid	100
Compressors	Closed-vent system	90
	Dual mechanical seal with barrier fluid maintained at a higher pressure than the compressed gas	100
Pressure Relief Devices	Closed-vent system	Variable <sup>31</sup>
	Rupture disk assembly	100
Valves	Seal-less design	100
Connectors	Weld together	100
Open-ended Lines	Blind, cap, plug, or second valve	100
Sampling Connections	Closed-loop sampling	100
Note: Examples of technologies are provided for illustrative purposes. The availability and applicability of any particular technology will vary depending on manufacturer specifications.		

29 Seal-less equipment can be a large source of emissions in the event of equipment failure.

30 Actual efficiency of a closed-vent system depends on percentage of vapors collected and efficiency of control device to which the vapors are routed.

31 Control efficiency of closed vent-systems installed on a pressure relief device may be lower than other closed-vent systems.

### Annex 1.1.5 - Fugitive PM Emissions Controls

Control Type	Control Efficiency
Chemical Stabilization	0% - 98%
Hygroscopic salts Bitumens/adhesives	60% - 96%
Surfactants	0% - 68%
Wet Suppression – Watering	12% - 98%
Speed Reduction	0% - 80%
Traffic Reduction	Not quantified
Paving (Asphalt / Concrete)	85% - 99%
Covering with Gravel, Slag, or "Road Carpet"	30% - 50%
Vacuum Sweeping	0% - 58%
Water Flushing/Broom Sweeping	0% - 96%

## 1.2 Energy Conservation

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### Applicability and Approach

This guideline applies to facilities or projects that consume energy in process heating and cooling; process and auxiliary systems, such as motors, pumps, and fans; compressed air systems and heating, ventilation and air conditioning systems (HVAC); and lighting systems. It complements the industry-specific emissions guidance presented in the Industry Sector Environmental, Health, and Safety (EHS) Guidelines by providing information about common techniques for energy conservation that may be applied to a range of industry sectors.

Energy management at the facility level should be viewed in the context of overall consumption patterns, including those associated with production processes and supporting utilities, as well as overall impacts associated with emissions from power sources. The following section provides guidance on energy management with a focus on common utility systems often representing technical and financially feasible opportunities for improvement in energy conservation. However, operations

should also evaluate energy conservation opportunities arising from manufacturing process modifications.

### Energy Management Programs

Energy management programs should include the following elements:

- Identification, and regular measurement and reporting of principal energy flows within a facility at unit process level
- Preparation of mass and energy balance;
- Definition and regular review of energy performance targets, which are adjusted to account for changes in major influencing factors on energy use
- Regular comparison and monitoring of energy flows with performance targets to identify where action should be taken to reduce energy use
- Regular review of targets, which may include comparison with benchmark data, to confirm that targets are set at appropriate levels

### Energy Efficiency

For any energy-using system, a systematic analysis of energy efficiency improvements and cost reduction opportunities should include a hierarchical examination of opportunities to:

- Demand/Load Side Management by reducing loads on the energy system
- Supply Side Management by:
  - Reduce losses in energy distribution
  - Improve energy conversion efficiency
  - Exploit energy purchasing opportunities
  - Use lower-carbon fuels

Common opportunities in each of these areas are summarized below.<sup>32</sup>

## Process Heating

Process heating is vital to many manufacturing processes, including heating for fluids, calcining, drying, heat treating, metal heating, melting, melting agglomeration, curing, and forming<sup>33</sup>.

In process heating systems, a system heat and mass balance will show how much of the system's energy input provides true process heating, and quantify fuel used to satisfy energy losses caused by excessive parasitic loads, distribution, or conversion losses. Examination of savings opportunities should be directed by the results of the heat and mass balance, though the following techniques are often valuable and cost-effective.

### Heating Load Reduction

- Ensure adequate insulation to reduce heat losses through furnace/oven etc. structure
- Recover heat from hot process or exhaust streams to reduce system loads
- In intermittently-heated systems, consider use of low thermal mass insulation to reduce energy required to heat the system structure to operating temperature
- Control process temperature and other parameters accurately to avoid, for example, overheating or overdrying
- Examine opportunities to use low weight and/or low thermal mass product carriers, such as heated shapers, kiln cars etc.

<sup>32</sup> Additional guidance on energy efficiency is available from sources such as Natural Resources Canada (NRCAN <http://oee.nrcan.gc.ca/commercial/financial-assistance/new-buildings/mnebc.cfm?attr=20>); the European Union (EUROPA. <http://europa.eu.int/scadplus/leg/en/s15004.htm>), and United States Department of Energy (US DOE, <http://www.eere.energy.gov/consumer/industry/process.html>).

<sup>33</sup> US DOE. <http://www.eere.energy.gov/consumer/industry/process.html>

- Review opportunities to schedule work flow to limit the need for process reheating between stages
- Operate furnaces/ovens at slight positive pressure, and maintain air seals to reduce air in-leakage into the heated system, thereby reducing the energy required to heat unnecessary air to system operating temperature
- Reduce radiant heat losses by sealing structural openings and keep viewing ports closed when not in use
- Where possible, use the system for long runs close to or at operating capacity
- Consider use of high emissivity coatings of high temperature insulation, and consequent reduction in process temperature
- Near net weight and shape heat designs
- Robust Quality assurance on input material
- Robust Scheduled maintenance programs

### Heat Distribution Systems

Heat distribution in process heating applications typically takes place through steam, hot water, or thermal fluid systems.

Losses can be reduced through the following actions:

- Promptly repair distribution system leaks
- Avoid steam leaks despite a perceived need to get steam through the turbine. Electricity purchase is usually cheaper overall, especially when the cost to treat turbine-quality boiler feed water is included. If the heat-power ratio of the distribution process is less than that of power systems, opportunities should be considered to increase the ratio; for example, by using low-pressure steam to drive absorption cooling systems rather than using electrically-driven vapor-compression systems.
- Regularly verify correct operation of steam traps in steam systems, and ensure that traps are not bypassed. Since

- steam traps typically last approximately 5 years, 20% should be replaced or repaired annually
- Insulate distribution system vessels, such as hot wells and de-aerators, in steam systems and thermal fluid or hot water storage tanks
  - Insulate all steam, condensate, hot water and thermal fluid distribution pipework, down to and including 1" (25 mm) diameter pipe, in addition to insulating all hot valves and flanges
  - In steam systems, return condensate to the boiler house for re-use, since condensate is expensive boiler-quality water and valuable beyond its heat content alone
  - Use flash steam recovery systems to reduce losses due to evaporation of high-pressure condensate
  - Consider steam expansion through a back-pressure turbine rather than reducing valve stations
  - Eliminate distribution system losses by adopting point-of-use heating systems

### *Energy Conversion System Efficiency Improvements*

The following efficiency opportunities should be examined for process furnaces or ovens, and utility systems, such as boilers and fluid heaters:

- Regularly monitor CO, oxygen or CO<sub>2</sub> content of flue gases to verify that combustion systems are using the minimum practical excess air volumes
- Consider combustion automation using oxygen-trim controls
- Minimize the number of boilers or heaters used to meet loads. It is typically more efficient to run one boiler at 90% of capacity than two at 45%. Minimize the number of boilers kept at hot-standby
- Use flue dampers to eliminate ventilation losses from hot boilers held at standby

- Maintain clean heat transfer surfaces; in steam boilers, flue gases should be no more than 20 K above steam temperature)
- In steam boiler systems, use economizers to recover heat from flue gases to pre-heat boiler feed water or combustion air
- Consider reverse osmosis or electrodialysis feed water treatment to minimize the requirement for boiler blowdown
- Adopt automatic (continuous) boiler blowdown
- Recover heat from blowdown systems through flash steam recovery or feed-water preheat
- Do not supply excessive quantities of steam to the de-aerator
- With fired heaters, consider opportunities to recover heat to combustion air through the use of recuperative or regenerative burner systems
- For systems operating for extended periods (> 6000 hours/year), cogeneration of electrical power, heat and /or cooling can be cost effective
- Oxy Fuel burners
- Oxygen enrichment/injection
- Use of turbolators in boilers
- Sizing design and use of multiple boilers for different load configurations
- Fuel quality control/fuel blending

### *Process Cooling*

The general methodology outlined above should be applied to process cooling systems. Commonly used and cost-effective measures to improve process cooling efficiency are described below.

### *Load Reduction*

- Ensure adequate insulation to reduce heat gains through cooling system structure and to below-ambient temperature refrigerant pipes and vessels
- Control process temperature accurately to avoid overcooling
- Operate cooling tunnels at slight positive pressure and maintain air seals to reduce air in-leakage into the cooled system, thus reducing the energy required to cool this unnecessary air to system operating temperature
- Examine opportunities to pre-cool using heat recovery to a process stream requiring heating, or by using a higher temperature cooling utility
- In cold and chill stores, minimize heat gains to the cooled space by use of air curtains, entrance vestibules, or rapidly opening/closing doors. Where conveyors carry products into chilled areas, minimize the area of transfer openings, for example, by using strip curtains
- Quantify and minimize "incidental" cooling loads, for example, those due to evaporator fans, other machinery, defrost systems and lighting in cooled spaces, circulation fans in cooling tunnels, or secondary refrigerant pumps (e.g. chilled water, brines, glycols)
- Do not use refrigeration for auxiliary cooling duties, such as compressor cylinder head or oil cooling
- While not a thermal load, ensure there is no gas bypass of the expansion valve since this imposes compressor load while providing little effective cooling
- In the case of air conditioning applications, energy efficiency techniques include:
  - Placing air intakes and air-conditioning units in cool, shaded locations
  - Improving building insulation including seals, vents, windows, and doors

- Planting trees as thermal shields around buildings
- Installing timers and/or thermostats and/or enthalpy-based control systems
- Installing ventilation heat recovery systems<sup>34</sup>

### *Energy Conversion*

The efficiency of refrigeration service provision is normally discussed in terms of Coefficient of Performance ("COP"), which is the ratio of cooling duty divided by input power. COP is maximized by effective refrigeration system design and increased refrigerant compression efficiency, as well as minimization of the temperature difference through which the system works and of auxiliary loads (i.e. those in addition to compressor power demand) used to operate the refrigeration system.

### **System Design**

- If process temperatures are above ambient for all, or part, of the year, use of ambient cooling systems, such as provided by cooling towers or dry air coolers, may be appropriate, perhaps supplemented by refrigeration in summer conditions.
- Most refrigeration systems are electric-motor driven vapor compression systems using positive displacement or centrifugal compressors. The remainder of this guideline relates primarily to vapor-compression systems. However, when a cheap or free heat source is available (e.g. waste heat from an engine-driven generator—low-pressure steam

<sup>34</sup> More information on HVAC energy efficiency can be found at the British Columbia Building Corporation (Woolliams, 2002. [http://www.greenbuildingsbc.com/new\\_buildings/pdf\\_files/greenbuild\\_strategy\\_es\\_guide.pdf](http://www.greenbuildingsbc.com/new_buildings/pdf_files/greenbuild_strategy_es_guide.pdf)), NRCAN's EnerGuide (<http://oee.nrcan.gc.ca/equipment/english/index.cfm?PrintView=N&Text=N>) and NRCAN's Energy Star Programs (<http://oee.nrcan.gc.ca/energystar/english/consumers/heating.cfm?text=N&printview=N#AC>), and the US Energy Star Program ([http://www.energystar.gov/index.cfm?c=guidelines.download\\_guidelines](http://www.energystar.gov/index.cfm?c=guidelines.download_guidelines)).

that has passed through a back-pressure turbine), absorption refrigeration may be appropriate.

- Exploit high cooling temperature range: precooling by ambient and/or 'high temperature' refrigeration before final cooling can reduce refrigeration capital and running costs. High cooling temperature range also provides an opportunity for countercurrent (cascade) cooling, which reduces refrigerant flow needs.
- Keep 'hot' and 'cold' fluids separate, for example, do not mix water leaving the chiller with water returning from cooling circuits.
- In low-temperature systems where high temperature differences are inevitable, consider two-stage or compound compression, or economized screw compressors, rather than single-stage compression.

### Minimizing Temperature Differences

A vapor-compression refrigeration system raises the temperature of the refrigerant from somewhat below the lowest process temperature (the evaporating temperature) to provide process cooling, to a higher temperature (the condensing temperature), somewhat above ambient, to facilitate heat rejection to the air or cooling water systems. Increasing evaporating temperature typically increases compressor cooling capacity without greatly affecting power consumption. Reducing condensing temperature increases evaporator cooling capacity and substantially reduces compressor power consumption.

### Elevating Evaporating Temperature

- Select a large evaporator to permit relatively low temperature differences between process and evaporating temperatures. Ensure that energy use of auxiliaries (e.g. evaporator fans) does not outweigh compression savings. In air-cooling applications, a design temperature difference of 6-10 K between leaving air temperature and evaporating

temperature is indicative of an appropriately sized evaporator. When cooling liquids, 2K between leaving liquid and evaporating temperatures can be achieved, though a 4K difference is generally indicative of a generously-sized evaporator.

- Keep the evaporator clean. When cooling air, ensure correct defrost operation. In liquid cooling, monitor refrigerant/process temperature differences and compare with design expectations to be alert to heat exchanger contamination by scale or oil.
- Ensure oil is regularly removed from the evaporator, and that oil additions and removals balance.
- Avoid the use of back-pressure valves.
- Adjust expansion valves to minimize suction superheat consistent with avoidance of liquid carry-over to compressors.
- Ensure that an appropriate refrigerant charge volume is present.

### Reducing Condensing Temperature

- Consider whether to use air-cooled or evaporation-based cooling (e.g. evaporative or water cooled condensers and cooling towers). Air-cooled evaporators usually have higher condensing temperatures, hence higher compressor energy use, and auxiliary power consumption, especially in low humidity climates. If a wet system is used, ensure adequate treatment to prevent growth of *legionella* bacteria.
- Whichever basic system is chosen, select a relatively large condenser to minimize differences between condensing and the heat sink temperatures. Condensing temperatures with air cooled or evaporative condensers should not be more than 10K above design ambient condition, and a 4K approach in a liquid-cooled condenser is possible.

- Avoid accumulation of non-condensable gases in the condenser system. Consider the installation of refrigerated non-condensable purgers, particularly for systems operating below atmospheric pressure.
- Keep condensers clean and free from scale. Monitor refrigerant/ambient temperature differences and compare with design expectations to be alert to heat exchanger contamination.
- Avoid liquid backup, which restricts heat transfer area in condensers. This can be caused by installation errors such as concentric reducers in horizontal liquid refrigerant pipes, or “up and over” liquid lines leading from condensers.
- In multiple condenser applications, refrigerant liquid lines should be connected via drop-leg traps to the main liquid refrigerant line to ensure that hot gases flow to all condensers.
- Avoid head pressure control to the extent possible. Head pressure control maintains condensing temperature at, or near, design levels. It therefore prevents reduction in compressor power consumption, which accompanies reduced condensing temperature, by restricting condenser capacity (usually by switching off the condenser, or cooling tower fans, or restricting cooling water flow) under conditions of less severe than design load or ambient temperature conditions. Head pressure is often kept higher than necessary to facilitate hot gas defrost or adequate liquid refrigerant circulation. Use of electronic rather than thermostatic expansion valves, and liquid refrigerant pumps can permit effective refrigerant circulation at much reduced condensing temperatures.
- Site condensers and cooling towers with adequate spacing so as to prevent recirculation of hot air into the tower.

### *Refrigerant Compression Efficiency*

- Some refrigerant compressors and chillers are more efficient than others offered for the same duty. Before purchase, identify the operating conditions under which the compressor or chiller is likely to operate for substantial parts of its annual cycle. Check operating efficiency under these conditions, and ask for estimates of annual running cost. Note that refrigeration and HVAC systems rarely run for extended periods at design conditions, which are deliberately extreme. Operational efficiency under the most commonly occurring off-design conditions is likely to be most important.
- Compressors lose efficiency when unloaded. Avoid operation of multiple compressors at part-load conditions. Note that package chillers can gain coefficient of performance (COP) when slightly unloaded, as loss of compressor efficiency can be outweighed by the benefits of reduced condensing and elevated evaporating temperature. However, it is unlikely to be energy efficient to operate a single compressor-chiller at less than 50% of capacity.
- Consider turndown efficiency when specifying chillers. Variable speed control or multiple compressor chillers can be highly efficient at part loads.
- Use of thermal storage systems (e.g., ice storage) can avoid the need for close load-tracking and, hence, can avoid part-loaded compressor operation.

### *Refrigeration System Auxiliaries*

Many refrigeration system auxiliaries (e.g. evaporator fans and chilled water pumps) contribute to refrigeration system load, so reductions in their energy use have a double benefit. General energy saving techniques for pumps and fans, listed in the next section of these guidelines, should be applied to refrigeration auxiliaries.

Additionally, auxiliary use can be reduced by avoidance of part-load operation and in plant selection (e.g. axial fan evaporative condensers generally use less energy than equivalent centrifugal fan towers).

Under extreme off-design conditions, reduction in duty of cooling system fans and pumps can be worthwhile, usually when the lowest possible condensing pressure has been achieved.

## Compressed Air Systems

Compressed air is the most commonly found utility service in industry, yet in many compressed air systems, the energy contained in compressed air delivered to the user is often 10% or less of energy used in air compression. Savings are often possible through the following techniques:

### *Load reduction*

- Examine each true user of compressed air to identify the air volume needed and the pressure at which this should be delivered.
- Do not mix high volume low pressure and low volume high pressure loads. Decentralize low volume high-pressure applications or provide dedicated low-pressure utilities, for example, by using fans rather than compressed air.
- Review air use reduction opportunities, for example:
  - Use air amplifier nozzles rather than simple open-pipe compressed air jets
  - Consider whether compressed air is needed at all
  - Where air jets are required intermittently (e.g. to propel product), consider operating the jet via a process-related solenoid valve, which opens only when air is required
  - Use manual or automatically operated valves to isolate air supply to individual machines or zones that are not in continuous use

- Implement systems for systematic identification and repair of leaks
- All condensate drain points should be trapped. Do not leave drain valves continuously 'cracked open'
- Train workers never to direct compressed air against their bodies or clothing to dust or cool themselves down.

### *Distribution*

- Monitor pressure losses in filters and replace as appropriate
- Use adequately sized distribution pipework designed to minimize pressure losses

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### Applicability and Approach

This guideline applies to projects that have either direct or indirect discharge of process wastewater, wastewater from utility operations or stormwater to the environment. These guidelines are also applicable to industrial discharges to sanitary sewers that discharge to the environment without any treatment. Process wastewater may include contaminated wastewater from utility operations, stormwater, and sanitary sewage. It provides information on common techniques for wastewater management, water conservation, and reuse that can be applied to a wide range of industry sectors. This guideline is meant to be complemented by the industry-specific effluent guidelines presented in the Industry Sector Environmental, Health, and Safety (EHS) Guidelines. Projects with the potential to generate process wastewater, sanitary (domestic) sewage, or stormwater should incorporate the necessary precautions to avoid, minimize, and control adverse impacts to human health, safety, or the environment.

In the context of their overall ESHS management system, facilities should:

- Understand the quality, quantity, frequency and sources of liquid effluents in its installations. This includes knowledge about the locations, routes and integrity of internal drainage systems and discharge points
- Plan and implement the segregation of liquid effluents principally along industrial, utility, sanitary, and stormwater categories, in order to limit the volume of water requiring specialized treatment. Characteristics of individual streams may also be used for source segregation.
- Identify opportunities to prevent or reduce wastewater pollution through such measures as recycle/reuse within their facility, input substitution, or process modification (e.g. change of technology or operating conditions/modes).
- Assess compliance of their wastewater discharges with the applicable: (i) discharge standard (if the wastewater is discharged to a surface water or sewer), and (ii) water quality standard for a specific reuse (e.g. if the wastewater is reused for irrigation).

Additionally, the generation and discharge of wastewater of any type should be managed through a combination of:

- Water use efficiency to reduce the amount of wastewater generation
- Process modification, including waste minimization, and reducing the use of hazardous materials to reduce the load of pollutants requiring treatment
- If needed, application of wastewater treatment techniques to further reduce the load of contaminants prior to discharge, taking into consideration potential impacts of cross-media transfer of contaminants during treatment (e.g., from water to air or land)

When wastewater treatment is required prior to discharge, the level of treatment should be based on:

- Whether wastewater is being discharged to a sanitary sewer system, or to surface waters
- National and local standards as reflected in permit requirements and sewer system capacity to convey and treat wastewater if discharge is to sanitary sewer
- Assimilative capacity of the receiving water for the load of contaminant being discharged wastewater if discharge is to surface water
- Intended use of the receiving water body (e.g. as a source of drinking water, recreation, irrigation, navigation, or other)
- Presence of sensitive receptors (e.g., endangered species) or habitats
- Good International Industry Practice (GIIP) for the relevant industry sector

## General Liquid Effluent Quality

### *Discharge to Surface Water*

Discharges of process wastewater, sanitary wastewater, wastewater from utility operations or stormwater to surface water should not result in contaminant concentrations in excess of local ambient water quality criteria or, in the absence of local criteria, other sources of ambient water quality.<sup>35</sup> Receiving water use<sup>36</sup> and assimilative capacity<sup>37</sup>, taking other sources of discharges to

<sup>35</sup> An example is the US EPA National Recommended Water Quality Criteria <http://www.epa.gov/waterscience/criteria/wqcriteria.html>

<sup>36</sup> Examples of receiving water uses as may be designated by local authorities include: drinking water (with some level of treatment), recreation, aquaculture, irrigation, general aquatic life, ornamental, and navigation. Examples of health-based guideline values for receiving waters include World Health Organization (WHO) guidelines for recreational use ([http://www.who.int/water\\_sanitation\\_health/dwq/guidelines/en/index.html](http://www.who.int/water_sanitation_health/dwq/guidelines/en/index.html))

<sup>37</sup> The assimilative capacity of the receiving water body depends on numerous factors including, but not limited to, the total volume of water, flow rate, flushing rate of the water body and the loading of pollutants from other effluent sources in

the receiving water into consideration, should also influence the acceptable pollution loadings and effluent discharge quality. Additional considerations that should be included in the setting of project-specific performance levels for wastewater effluents include:

- Process wastewater treatment standards consistent with applicable Industry Sector EHS Guidelines. Projects for which there are no industry-specific guidelines should reference the effluent quality guidelines of an industry sector with suitably analogous processes and effluents;
- Compliance with national or local standards for sanitary wastewater discharges or, in their absence, the indicative guideline values applicable to sanitary wastewater discharges shown in Table 1.3.1 below;
- Temperature of wastewater prior to discharge does not result in an increase greater than 3°C of ambient temperature at the edge of a scientifically established mixing zone which takes into account ambient water quality, receiving water use and assimilative capacity among other considerations.

### *Discharge to Sanitary Sewer Systems*

Discharges of industrial wastewater, sanitary wastewater, wastewater from utility operations or stormwater into public or private wastewater treatment systems should:

- Meet the pretreatment and monitoring requirements of the sewer treatment system into which it discharges.
- Not interfere, directly or indirectly, with the operation and maintenance of the collection and treatment systems, or pose a risk to worker health and safety, or adversely impact

the area or region. A seasonally representative baseline assessment of ambient water quality may be required for use with established scientific methods and mathematical models to estimate potential impact to the receiving water from an effluent source.

characteristics of residuals from wastewater treatment operations.

- Be discharged into municipal or centralized wastewater treatment systems that have adequate capacity to meet local regulatory requirements for treatment of wastewater generated from the project. Pretreatment of wastewater to meet regulatory requirements before discharge from the project site is required if the municipal or centralized wastewater treatment system receiving wastewater from the project does not have adequate capacity to maintain regulatory compliance.

### *Land Application of Treated Effluent*

The quality of treated process wastewater, wastewater from utility operations or stormwater discharged on land, including wetlands, should be established based on local regulatory requirements.

Where land is used as part of the treatment system and the ultimate receptor is surface water, water quality guidelines for surface water discharges specific to the industry sector process should apply.<sup>38</sup> Potential impact on soil, groundwater, and surface water, in the context of protection, conservation and long term sustainability of water and land resources should be assessed when land is used as part of any wastewater treatment system.

### *Septic Systems*

Septic systems are commonly used for treatment and disposal of domestic sanitary sewage in areas with no sewerage collection networks, Septic systems should only be used for treatment of sanitary sewage, and unsuitable for industrial wastewater treatment. When septic systems are the selected form of wastewater disposal and treatment, they should be:

- Properly designed and installed in accordance with local regulations and guidance to prevent any hazard to public health or contamination of land, surface or groundwater.
- Well maintained to allow effective operation.
- Installed in areas with sufficient soil percolation for the design wastewater loading rate.
- Installed in areas of stable soils that are nearly level, well drained, and permeable, with enough separation between the drain field and the groundwater table or other receiving waters.

### *Wastewater Management*

Wastewater management includes water conservation, wastewater treatment, stormwater management, and wastewater and water quality monitoring.

### *Industrial Wastewater*

Industrial wastewater generated from industrial operations includes process wastewater, wastewater from utility operations,, runoff from process and materials staging areas, and miscellaneous activities including wastewater from laboratories, equipment maintenance shops, etc.. The pollutants in an industrial wastewater may include acids or bases (exhibited as low or high pH), soluble organic chemicals causing depletion of dissolved oxygen, suspended solids, nutrients (phosphorus, nitrogen), heavy metals (e.g. cadmium, chromium, copper, lead, mercury, nickel, zinc), cyanide, toxic organic chemicals, oily materials, and volatile materials. , as well as from thermal characteristics of the discharge (e.g., elevated temperature). Transfer of pollutants to another phase, such as air, soil, or the sub-surface, should be minimized through process and engineering controls.

**Process Wastewater** – – Examples of treatment approaches typically used in the treatment of industrial wastewater are summarized in Annex 1.3.1. While the choice of treatment

<sup>38</sup> Additional guidance on water quality considerations for land application is available in the WHO Guidelines for the Safe Use of Wastewater, Excreta and Greywater. Volume 2: Wastewater Use in Agriculture [http://www.who.int/water\\_sanitation\\_health/wastewater/gsuweg2/en/index.html](http://www.who.int/water_sanitation_health/wastewater/gsuweg2/en/index.html)

technology is driven by wastewater characteristics, the actual performance of this technology depends largely on the adequacy of its design, equipment selection, as well as operation and maintenance of its installed facilities. Adequate resources are required for proper operation and maintenance of a treatment facility, and performance is strongly dependent on the technical ability and training of its operational staff. One or more treatment technologies may be used to achieve the desired discharge quality and to maintain consistent compliance with regulatory requirements. The design and operation of the selected wastewater treatment technologies should avoid uncontrolled air emissions of volatile chemicals from wastewaters. Residuals from industrial wastewater treatment operations should be disposed in compliance with local regulatory requirements, in the absence of which disposal has to be consistent with protection of public health and safety, and conservation and long term sustainability of water and land resources.

**Wastewater from Utilities Operations** - Utility operations such as cooling towers and demineralization systems may result in high rates of water consumption, as well as the potential release of high temperature water containing high dissolved solids, residues of biocides, residues of other cooling system anti-fouling agents, etc. Recommended water management strategies for utility operations include:

- Adoption of water conservation opportunities for facility cooling systems as provided in the Water Conservation section below;
- Use of heat recovery methods (also energy efficiency improvements) or other cooling methods to reduce the temperature of heated water prior to discharge to ensure the discharge water temperature does not result in an increase greater than 3°C of ambient temperature at the edge of a scientifically established mixing zone which takes into

account ambient water quality, receiving water use, potential receptors and assimilative capacity among other considerations;

- Minimizing use of antifouling and corrosion inhibiting chemicals by ensuring appropriate depth of water intake and use of screens. Least hazardous alternatives should be used with regards to toxicity, biodegradability, bioavailability, and bioaccumulation potential. Dose applied should accord with local regulatory requirements and manufacturer recommendations;
- Testing for residual biocides and other pollutants of concern should be conducted to determine the need for dose adjustments or treatment of cooling water prior to discharge.

**Stormwater Management** - Stormwater includes any surface runoff and flows resulting from precipitation, drainage or other sources. Typically stormwater runoff contains suspended sediments, metals, petroleum hydrocarbons, Polycyclic Aromatic Hydrocarbons (PAHs), coliform, etc. Rapid runoff, even of uncontaminated stormwater, also degrades the quality of the receiving water by eroding stream beds and banks. In order to reduce the need for stormwater treatment, the following principles should be applied:

- Stormwater should be separated from process and sanitary wastewater streams in order to reduce the volume of wastewater to be treated prior to discharge
- Surface runoff from process areas or potential sources of contamination should be prevented
- Where this approach is not practical, runoff from process and storage areas should be segregated from potentially less contaminated runoff
- Runoff from areas without potential sources of contamination should be minimized (e.g. by minimizing the area of impermeable surfaces) and the peak discharge rate should

be reduced (e.g. by using vegetated swales and retention ponds);

- Where stormwater treatment is deemed necessary to protect the quality of receiving water bodies, priority should be given to managing and treating the first flush of stormwater runoff where the majority of potential contaminants tend to be present;
- When water quality criteria allow, stormwater should be managed as a resource, either for groundwater recharge or for meeting water needs at the facility;
- Oil water separators and grease traps should be installed and maintained as appropriate at refueling facilities, workshops, parking areas, fuel storage and containment areas.
- Sludge from stormwater catchments or collection and treatment systems may contain elevated levels of pollutants and should be disposed in compliance with local regulatory requirements, in the absence of which disposal has to be consistent with protection of public health and safety, and conservation and long term sustainability of water and land resources.

### *Sanitary Wastewater*

Sanitary wastewater from industrial facilities may include effluents from domestic sewage, food service, and laundry facilities serving site employees. Miscellaneous wastewater from laboratories,

medical infirmaries, water softening etc. may also be discharged to the sanitary wastewater treatment system. Recommended sanitary wastewater management strategies include:

- Segregation of wastewater streams to ensure compatibility with selected treatment option (e.g. septic system which can only accept domestic sewage);
- Segregation and pretreatment of oil and grease containing effluents (e.g. use of a grease trap) prior to discharge into sewer systems;
- If sewage from the industrial facility is to be discharged to surface water, treatment to meet national or local standards for sanitary wastewater discharges or, in their absence, the indicative guideline values applicable to sanitary wastewater discharges shown in Table 1.3.1;
- If sewage from the industrial facility is to be discharged to either a septic system, or where land is used as part of the treatment system, treatment to meet applicable national or local standards for sanitary wastewater discharges is required.
- Sludge from sanitary wastewater treatment systems should be disposed in compliance with local regulatory requirements, in the absence of which disposal has to be consistent with protection of public health and safety, and conservation and long term sustainability of water and land resources.

**Table 1.3.1 Indicative Values for Treated Sanitary Sewage Discharges<sup>a</sup>**

Pollutants	Units	Guideline Value
pH	pH	6 – 9
BOD	mg/l	30
COD	mg/l	125
Total nitrogen	mg/l	10
Total phosphorus	mg/l	2
Oil and grease	mg/l	10
Total suspended solids	mg/l	50
Total coliform bacteria	MPN <sup>b</sup> / 100 ml	400 <sup>a</sup>
<b>Notes:</b> <sup>a</sup> Not applicable to centralized, municipal, wastewater treatment systems which are included in EHS Guidelines for Water and Sanitation. <sup>b</sup> MPN = Most Probable Number		

### *Emissions from Wastewater Treatment Operations*

Air emissions from wastewater treatment operations may include hydrogen sulfide, methane, ozone (in the case of ozone disinfection), volatile organic compounds (e.g., chloroform generated from chlorination activities and other volatile organic compounds (VOCs) from industrial wastewater), gaseous or volatile chemicals used for disinfection processes (e.g., chlorine and ammonia), and bioaerosols. Odors from treatment facilities can also be a nuisance to workers and the surrounding community. Recommendations for the management of emissions are presented in the Air Emissions and Ambient Air Quality section of this document and in the EHS Guidelines for Water and Sanitation.

### *Residuals from Wastewater Treatment Operations*

Sludge from a waste treatment plant needs to be evaluated on a case-by-case basis to establish whether it constitutes a hazardous

or a non-hazardous waste and managed accordingly as described in the Waste Management section of this document.

### *Occupational Health and Safety Issues in Wastewater Treatment Operations*

Wastewater treatment facility operators may be exposed to physical, chemical, and biological hazards depending on the design of the facilities and the types of wastewater effluents managed. Examples of these hazards include the potential for trips and falls into tanks, confined space entries for maintenance operations, and inhalation of VOCs, bioaerosols, and methane, contact with pathogens and vectors, and use of potentially hazardous chemicals, including chlorine, sodium and calcium hypochlorite, and ammonia. Detailed recommendations for the management of occupational health and safety issues are presented in the relevant section of this document. Additional guidance specifically applicable to wastewater treatment systems is provided in the EHS Guidelines for Water and Sanitation.

### **Monitoring**

A wastewater and water quality monitoring program with adequate resources and management oversight should be developed and implemented to meet the objective(s) of the monitoring program. The wastewater and water quality monitoring program should consider the following elements:

- *Monitoring parameters:* The parameters selected for monitoring should be indicative of the pollutants of concern from the process, and should include parameters that are regulated under compliance requirements;
- *Monitoring type and frequency:* Wastewater monitoring should take into consideration the discharge characteristics from the process over time. Monitoring of discharges from processes with batch manufacturing or seasonal process variations should take into consideration of time-dependent

variations in discharges and, therefore, is more complex than monitoring of continuous discharges. Effluents from highly variable processes may need to be sampled more frequently or through composite methods. Grab samples or, if automated equipment permits, composite samples may offer more insight on average concentrations of pollutants over a 24-hour period. Composite samplers may not be appropriate where analytes of concern are short-lived (e.g., quickly degraded or volatile).

- *Monitoring locations:* The monitoring location should be selected with the objective of providing representative monitoring data. Effluent sampling stations may be located at the final discharge, as well as at strategic upstream points prior to merging of different discharges. Process discharges should not be diluted prior or after treatment with the objective of meeting the discharge or ambient water quality standards.
- *Data quality:* Monitoring programs should apply internationally approved methods for sample collection, preservation and analysis. Sampling should be conducted by or under the supervision of trained individuals. Analysis should be conducted by entities permitted or certified for this purpose. Sampling and Analysis Quality Assurance/Quality Control (QA/QC) plans should be prepared and implemented. QA/QC documentation should be included in monitoring reports.

### Annex 1.3.1 - Examples of Industrial Wastewater Treatment Approaches

Pollutant/Parameter	Control Options / Principle	Common End of Pipe Control Technology
pH	Chemical, Equalization	Acid/Base addition, Flow equalization
Oil and Grease / TPH	Phase separation	Dissolved Air Floatation, oil water separator, grease trap
TSS - Settleable	Settling, Size Exclusion	Sedimentation basin, clarifier, centrifuge, screens
TSS - Non-Settleable	Floatation, Filtration - traditional and tangential	Dissolved air floatation, Multimedia filter, sand filter, fabric filter, ultrafiltration, microfiltration
Hi - BOD (> 2 Kg/m <sup>3</sup> )	Biological - Anaerobic	Suspended growth, attached growth, hybrid
Lo - BOD (< 2 Kg/m <sup>3</sup> )	Biological - Aerobic, Facultative	Suspended growth, attached growth, hybrid
COD - Non-Biodegradable	Oxidation, Adsorption, Size Exclusion	Chemical oxidation, Thermal oxidation, Activated Carbon, Membranes
Metals - Particulate and Soluble	Coagulation, flocculation, precipitation, size exclusion	Flash mix with settling, filtration - traditional and tangential
Inorganics / Non-metals	Coagulation, flocculation, precipitation, size exclusion, Oxidation, Adsorption	Flash mix with settling, filtration - traditional and tangential, Chemical oxidation, Thermal oxidation, Activated Carbon, Reverse Osmosis, Evaporation
Organics - VOCs and SVOCs	Biological - Aerobic, Anaerobic, Facultative; Adsorption, Oxidation	Biological : Suspended growth, attached growth, hybrid; Chemical oxidation, Thermal oxidation, Activated Carbon
Emissions – Odors and VOCs	Capture – Active or Passive; Biological; Adsorption, Oxidation	Biological : Attached growth; Chemical oxidation, Thermal oxidation, Activated Carbon
Nutrients	Biological Nutrient Removal, Chemical, Physical, Adsorption	Aerobic/Anoxic biological treatment, chemical hydrolysis and air stripping, chlorination, ion exchange
Color	Biological - Aerobic, Anaerobic, Facultative; Adsorption, Oxidation	Biological Aerobic, Chemical oxidation, Activated Carbon
Temperature	Evaporative Cooling	Surface Aerators, Flow Equalization
TDS	Concentration, Size Exclusion	Evaporation, crystallization, Reverse Osmosis
Active Ingredients/Emerging Contaminants	Adsorption, Oxidation, Size Exclusion, Concentration	Chemical oxidation, Thermal oxidation, Activated Carbon, Ion Exchange, Reverse Osmosis, Evaporation, Crystallization
Radionuclides	Adsorption, Size Exclusion, Concentration	Ion Exchange, Reverse Osmosis, Evaporation, Crystallization
Pathogens	Disinfection, Sterilization	Chlorine, Ozone, Peroxide, UV, Thermal
Toxicity	Adsorption, Oxidation, Size Exclusion, Concentration	Chemical oxidation, Thermal oxidation, Activated Carbon, Evaporation, crystallization, Reverse Osmosis

## 1.4 Water Conservation

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### Applicability and Approach

Water conservation programs should be implemented commensurate with the magnitude and cost of water use. These programs should promote the continuous reduction in water consumption and achieve savings in the water pumping, treatment and disposal costs. Water conservation measures may include water monitoring/management techniques; process and cooling/heating water recycling, reuse, and other techniques; and sanitary water conservation techniques.

General recommendations include:

- Storm/Rainwater harvesting and use
- Zero discharge design/Use of treated waste water to be included in project design processes
- Use of localized recirculation systems in plant/facility/shops (as opposed to centralized recirculation system), with provision only for makeup water
- Use of dry process technologies e.g. dry quenching
- Process water system pressure management
- Project design to have measures for adequate water collection, spill control and leakage control system

### Water Monitoring and Management

The essential elements of a water management program involve:

- Identification, regular measurement, and recording of principal flows within a facility;
- Definition and regular review of performance targets, which are adjusted to account for changes in major factors affecting water use (e.g. industrial production rate);
- Regular comparison of water flows with performance targets to identify where action should be taken to reduce water use.

Water measurement (metering) should emphasize areas of greatest water use. Based on review of metering data, 'unaccounted' use—indicating major leaks at industrial facilities—could be identified.

### Process Water Reuse and Recycling

Opportunities for water savings in industrial processes are highly industry-specific. However, the following techniques have all been used successfully, and should be considered in conjunction with the development of the metering system described above.

- *Washing Machines:* Many washing machines use large quantities of hot water. Use can increase as nozzles become enlarged due to repeated cleaning and /or wear. Monitor machine water use, compare with specification, and replace nozzles when water and heat use reaches levels warranting such work.
- *Water reuse:* Common water reuse applications include countercurrent rinsing, for example in multi-stage washing

and rinsing processes, or reusing waste water from one process for another with less exacting water requirements. For example, using bleaching rinse water for textile washing, or bottle-washer rinse water for bottle crate washing, or even washing the floor. More sophisticated reuse projects requiring treatment of water before reuse are also sometimes practical.

- *Water jets/sprays:* If processes use water jets or sprays (e.g. to keep conveyors clean or to cool product) review the accuracy of the spray pattern to prevent unnecessary water loss.
- *Flow control optimization:* Industrial processes sometimes require the use of tanks, which are refilled to control losses. It is often possible to reduce the rate of water supply to such tanks, and sometimes to reduce tank levels to reduce spillage. If the process uses water cooling sprays, it may be possible to reduce flow while maintaining cooling performance. Testing can determine the optimum balance.
  - If hoses are used in cleaning, use flow controls to restrict wasteful water flow
  - Consider the use of high pressure, low volume cleaning systems rather than using large volumes of water sprayed from hosepipes
  - Using flow timers and limit switches to control water use
  - Using 'clean-up' practices rather than hosing down

## Building Facility Operations

Consumption of building and sanitary water is typically less than that used in industrial processes. However, savings can readily be identified, as outlined below:

- Compare daily water use per employee to existing benchmarks taking into consideration the primary use at

the facility, whether sanitary or including other activities such as showering or catering

- Regularly maintain plumbing, and identify and repair leaks
- Shut off water to unused areas
- Install self-closing taps, automatic shut-off valves, spray nozzles, pressure reducing valves, and water conserving fixtures (e.g. low flow shower heads, faucets, toilets, urinals; and spring loaded or sensed faucets)
- Operate dishwashers and laundries on full loads, and only when needed
- Install water-saving equipment in lavatories, such as low-flow toilets

## Cooling Systems

Water conservation opportunities in cooling systems include:

- Use of closed circuit cooling systems with cooling towers rather than once-through cooling systems
- Limiting condenser or cooling tower blowdown to the minimum required to prevent unacceptable accumulation of dissolved solids
- Use of air cooling rather than evaporative cooling, although this may increase electricity use in the cooling system
- Use of treated waste water for cooling towers
- Reusing/recycling cooling tower blowdown

## Heating Systems

Heating systems based on the circulation of low or medium pressure hot water (which do not consume water) should be closed. If they do consume water, regular maintenance should be conducted to check for leaks. However, large quantities of water may be used by steam systems, and this can be reduced by the following measures:



- Repair of steam and condensate leaks, and repair of all failed steam traps
- Return of condensate to the boilerhouse, and use of heat exchangers (with condensate return) rather than direct steam injection where process permits
- Flash steam recovery
- Minimizing boiler blowdown consistent with maintaining acceptably low dissolved solids in boiler water. Use of reverse osmosis boiler feed water treatment substantially reduces the need for boiler blowdown
- Minimizing deaerator heating

## 1.5 Hazardous Materials Management

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### Applicability and Approach

These guidelines apply to projects that use, store, or handle any quantity of hazardous materials (Hazmats), defined as materials that represent a risk to human health, property, or the environment due to their physical or chemical characteristics. Hazmats can be classified according to the hazard as explosives; compressed gases, including toxic or flammable gases; flammable liquids; flammable solids; oxidizing substances; toxic materials; radioactive material; and corrosive substances. Guidance on the transport of hazardous materials is covered in Section 3 of this document.

When a hazardous material is no longer usable for its original purpose and is intended for disposal, but still has hazardous properties, it is considered a *hazardous waste* (see Section 1.4).

This guidance is intended to be applied in conjunction with traditional occupational health and safety and emergency preparedness programs which are included in Section 2.0 on Occupational Health and Safety Management, and Section 3.7 on Emergency Preparedness and Response. Guidance on the Transport of Hazardous Materials is provided in Section 3.5.

This section is divided into two main subsections:

*General Hazardous Materials Management:* Guidance applicable to all projects or facilities that handle or store any quantity of hazardous materials.

*Management of Major Hazards:* Additional guidance for projects or facilities that store or handle hazardous materials at, or above, threshold quantities<sup>39</sup>, and thus require special treatment to prevent accidents such as fire, explosions, leaks or spills, and to prepare and respond to emergencies.

The overall objective of hazardous materials management is to avoid or, when avoidance is not feasible, minimize uncontrolled releases of hazardous materials or accidents (including explosion and fire) during their production, handling, storage and use. This objective can be achieved by:

<sup>39</sup> For examples, threshold quantities should be those established for emergency planning purposes such as provided in the US Environmental Protection Agency. *Protection of Environment* (Title Threshold quantities are provided in the US Environmental Protection Agency. *Protection of Environment* (Title 40 CFR Parts 68, 112, and 355).

- Establishing hazardous materials management priorities based on hazard analysis of risky operations identified through Social and Environmental Assessment;
  - Where practicable, avoiding or minimizing the use of hazardous materials. For example, non-hazardous materials have been found to substitute asbestos in building materials, PCBs in electrical equipment, persistent organic pollutants (POPs) in pesticides formulations, and ozone depleting substances in refrigeration systems;
  - Preventing uncontrolled releases of hazardous materials to the environment or uncontrolled reactions that might result in fire or explosion;
  - Using engineering controls (containment, automatic alarms, and shut-off systems) commensurate with the nature of hazard;
  - Implementing management controls (procedures, inspections, communications, training, and drills) to address residual risks that have not been prevented or controlled through engineering measures.
- The types and amounts of hazardous materials present in the project. This information should be recorded and should include a summary table with the following information:
    - Name and description (e.g. composition of a mixture) of the Hazmat
    - Classification (e.g. code, class or division) of the Hazmat
    - Internationally accepted regulatory reporting threshold quantity or national equivalent<sup>40</sup> of the Hazmat
    - Quantity of Hazmat used per month
    - Characteristic(s) that make(s) the Hazmat hazardous (e.g. flammability, toxicity)
  - Analysis of potential spill and release scenarios using available industry statistics on spills and accidents where available
  - Analysis of the potential for uncontrolled reactions such as fire and explosions
  - Analysis of potential consequences based on the physical-geographical characteristics of the project site, including aspects such as its distance to settlements, water resources, and other environmentally sensitive areas

## General Hazardous Materials Management

Projects which manufacture, handle, use, or store hazardous materials should establish management programs that are commensurate with the potential risks present. The main objectives of projects involving hazardous materials should be the protection of the workforce and the prevention and control of releases and accidents. These objectives should be addressed by integrating prevention and control measures, management actions, and procedures into day-to-day business activities. Potentially applicable elements of a management program include the following:

### *Hazard Assessment*

The level of risk should be established through an on-going assessment process based on:

Hazard assessment should be performed by specialized professionals using internationally-accepted methodologies such as Hazardous Operations Analysis (HAZOP), Failure Mode and Effects Analysis (FMEA), and Hazard Identification (HAZID).

### *Management Actions*

The management actions to be included in a Hazardous Materials Management Plan should be commensurate with the level of

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<sup>40</sup> Threshold quantities are provided in the US Environmental Protection Agency. *Protection of Environment* (Title 40 CFR Parts 68, 112, and 355).

potential risks associated with the production, handling, storage, and use of hazardous materials.

### Release Prevention and Control Planning

Where there is risk of a spill of uncontrolled hazardous materials, facilities should prepare a spill control, prevention, and countermeasure plan as a specific component of their Emergency Preparedness and Response Plan (described in more detail in Section 3.7). The plan should be tailored to the hazards associated with the project, and include:

- Training of operators on release prevention, including drills specific to hazardous materials as part of emergency preparedness response training
- Implementation of inspection programs to maintain the mechanical integrity and operability of pressure vessels, tanks, piping systems, relief and vent valve systems, containment infrastructure, emergency shutdown systems, controls and pumps, and associated process equipment
- Preparation of written Standard Operating Procedures (SOPs) for filling USTs, ASTs or other containers or equipment as well as for transfer operations by personnel trained in the safe transfer and filling of the hazardous material, and in spill prevention and response
- SOPs for the management of secondary containment structures, specifically the removal of any accumulated fluid, such as rainfall, to ensure that the intent of the system is not accidentally or willfully defeated
- Identification of locations of hazardous materials and associated activities on an emergency plan site map
- Documentation of availability of specific personal protective equipment and training needed to respond to an emergency
- Documentation of availability of spill response equipment sufficient to handle at least initial stages of a spill and a list of

external resources for equipment and personnel, if necessary, to supplement internal resources

- Description of response activities in the event of a spill, release, or other chemical emergency including:
  - Internal and external notification procedures
  - Specific responsibilities of individuals or groups
  - Decision process for assessing severity of the release, and determining appropriate actions
  - Facility evacuation routes
  - Post-event activities such as clean-up and disposal, incident investigation, employee re-entry, and restoration of spill response equipment.

### Occupational Health and Safety

The Hazardous Materials Management Plan should address applicable, essential elements of occupational health and safety management as described in Section 2.0 on Occupational Health and Safety, including:

- Job safety analysis to identify specific potential occupational hazards and industrial hygiene surveys, as appropriate, to monitor and verify chemical exposure levels, and compare with applicable occupational exposure standards<sup>41</sup>
- Hazard communication and training programs to prepare workers to recognize and respond to workplace chemical hazards. Programs should include aspects of hazard identification, safe operating and materials handling procedures, safe work practices, basic emergency procedures, and special hazards unique to their jobs.

<sup>41</sup> Including: Threshold Limit Value (TLV<sup>®</sup>) occupational exposure guidelines and Biological Exposure Indices (BEIs<sup>®</sup>), American Conference of Governmental Industrial Hygienists (ACGIH), <http://www.acgih.org/TLV/>; U.S. National Institute for Occupational Health and Safety (NIOSH), <http://www.cdc.gov/niosh/npg/>; Permissible Exposure Limits (PELs), U.S. Occupational Safety and Health Administration (OSHA), [http://www.osha.gov/pls/oshaweb/owadisp.show\\_document?p\\_table=STANDARD\\_S&p\\_id=9992](http://www.osha.gov/pls/oshaweb/owadisp.show_document?p_table=STANDARD_S&p_id=9992); Indicative Occupational Exposure Limit Values, European Union, [http://europe.osha.eu.int/good\\_practice/risks/ds/oel/](http://europe.osha.eu.int/good_practice/risks/ds/oel/); and other similar sources.

Training should incorporate information from Material Safety Data Sheets<sup>42</sup> (MSDSs) for hazardous materials being handled. MSDSs should be readily accessible to employees in their local language.

- Definition and implementation of permitted maintenance activities, such as hot work or confined space entries
- Provision of suitable personal protection equipment (PPE) (footwear, masks, protective clothing and goggles in appropriate areas), emergency eyewash and shower stations, ventilation systems, and sanitary facilities
- Monitoring and record-keeping activities, including audit procedures designed to verify and record the effectiveness of prevention and control of exposure to occupational hazards, and maintaining accident and incident investigation reports on file for a period of at least five years

### Process Knowledge and Documentation

The Hazardous Materials Management Plan should be incorporated into, and consistent with, the other elements of the facility ES/OHS MS and include:

- Written process safety parameters (i.e., hazards of the chemical substances, safety equipment specifications, safe operation ranges for temperature, pressure, and other applicable parameters, evaluation of the consequences of deviations, etc.)
- Written operating procedures
- Compliance audit procedures

<sup>42</sup> MSDSs are produced by the manufacturer, but might not be prepared for chemical intermediates that are not distributed in commerce. In these cases, employers still need to provide workers with equivalent information.

### *Preventive Measures*

#### **Hazardous Materials Transfer**

Uncontrolled releases of hazardous materials may result from small cumulative events, or from more significant equipment failure associated with events such as manual or mechanical transfer between storage systems or process equipment.

Recommended practices to prevent hazardous material releases from processes include:

- Use of dedicated fittings, pipes, and hoses specific to materials in tanks (e.g., all acids use one type of connection, all caustics use another), and maintaining procedures to prevent addition of hazardous materials to incorrect tanks
- Use of transfer equipment that is compatible and suitable for the characteristics of the materials transferred and designed to ensure safe transfer
- Regular inspection, maintenance and repair of fittings, pipes and hoses
- Provision of secondary containment, drip trays or other overflow and drip containment measures, for hazardous materials containers at connection points or other possible overflow points.

#### **Overfill Protection**

Overfills of vessels and tanks should be prevented as they are among the most common causes of spills resulting in soil and water contamination, and among the easiest to prevent.

Recommended overfill protection measures include:

- Prepare written procedures for transfer operations that includes a checklist of measures to follow during filling operations and the use of filling operators trained in these procedures
- Installation of gauges on tanks to measure volume inside
- Use of dripless hose connections for vehicle tank and fixed connections with storage tanks

- Provision of automatic fill shutoff valves on storage tanks to prevent overfilling
- Use of a catch basin around the fill pipe to collect spills
- Use of piping connections with automatic overfill protection (float valve)
- Pumping less volume than available capacity into the tank or vessel by ordering less material than its available capacity
- Provision of overfill or over pressure vents that allow controlled release to a capture point

### Reaction, Fire, and Explosion Prevention

Reactive, flammable, and explosive materials should also be managed to avoid uncontrolled reactions or conditions resulting in fire or explosion. Recommended prevention practices include:

- Storage of incompatible materials (acids, bases, flammables, oxidizers, reactive chemicals) in separate areas, and with containment facilities separating material storage areas
- Provision of material-specific storage for extremely hazardous or reactive materials
- Use of flame arresting devices on vents from flammable storage containers
- Provision of grounding and lightning protection for tank farms, transfer stations, and other equipment that handles flammable materials
- Selection of materials of construction compatible with products stored for all parts of storage and delivery systems, and avoiding reuse of tanks for different products without checking material compatibility
- Storage of hazardous materials in an area of the facility separated from the main production works. Where proximity is unavoidable, physical separation should be provided using structures designed to prevent fire, explosion, spill, and other emergency situations from affecting facility operations

- Prohibition of all sources of ignition from areas near flammable storage tanks

### *Control Measures*

#### **Secondary Containment (Liquids)**

A critical aspect for controlling accidental releases of liquid hazardous materials during storage and transfer is the provision of secondary containment. It is not necessary for secondary containment methods to meet long term material compatibility as with primary storage and piping, but their design and construction should hold released materials effectively until they can be detected and safely recovered. Appropriate secondary containment structures consist of berms, dikes, or walls capable of containing the larger of 110 percent of the largest tank or 25 percent of the combined tank volumes in areas with above-ground tanks with a total storage volume equal or greater than 1,000 liters and will be made of impervious, chemically resistant material. Secondary containment design should also consider means to prevent contact between incompatible materials in the event of a release.

Other secondary containment measures that should be applied depending on site-specific conditions include:

- Transfer of hazardous materials from vehicle tanks to storage in areas with surfaces sufficiently impervious to avoid loss to the environment and sloped to a collection or a containment structure not connected to municipal wastewater/stormwater collection system
- Where it is not practical to provide permanent, dedicated containment structures for transfer operations, one or more alternative forms of spill containment should be provided, such as portable drain covers (which can be deployed for the duration of the operations), automatic shut-off valves on storm water basins, or shut off valves in drainage or sewer facilities, combined with oil-water separators

- Storage of drummed hazardous materials with a total volume equal or greater than 1,000 liters in areas with impervious surfaces that are sloped or bermed to contain a minimum of 25 percent of the total storage volume
- Provision of secondary containment for components (tanks, pipes) of the hazardous material storage system, to the extent feasible
- Conducting periodic (e.g. daily or weekly) reconciliation of tank contents, and inspection of visible portions of tanks and piping for leaks;
- Use of double-walled, composite, or specially coated storage and piping systems particularly in the use of underground storage tanks (USTs) and underground piping. If double-walled systems are used, they should provide a means of detecting leaks between the two walls.

### Storage Tank and Piping Leak Detection

Leak detection may be used in conjunction with secondary containment, particularly in high-risk locations<sup>43</sup>. Leak detection is especially important in situations where secondary containment is not feasible or practicable, such as in long pipe runs. Acceptable leak detection methods include:

- Use of automatic pressure loss detectors on pressurized or long distance piping
- Use of approved or certified integrity testing methods on piping or tank systems, at regular intervals
- Considering the use of SCADA<sup>44</sup> if financially feasible

<sup>43</sup> High-risk locations are places where the release of product from the storage system could result in the contamination of drinking water source or those located in water resource protection areas as designated by local authorities.

<sup>44</sup> Supervisory Control and Data Acquisition

### Underground Storage Tanks (USTs)<sup>45</sup>

Although there are many environmental and safety advantages of underground storage of hazardous materials, including reduced risk of fire or explosion, and lower vapor losses into the atmosphere, leaks of hazardous materials can go undetected for long periods of time with potential for soil and groundwater contamination. Examples of techniques to manage these risks include:

- Avoiding use of USTs for storage of highly soluble organic materials
  - Assessing local soil corrosion potential, and installing and maintaining cathodic protection (or equivalent rust protection) for steel tanks
  - For new installations, installing impermeable liners or structures (e.g., concrete vaults) under and around tanks and lines that direct any leaked product to monitoring ports at the lowest point of the liner or structure
  - Monitoring the surface above any tank for indications of soil movement
  - Reconciling tank contents by measuring the volume in store with the expected volume, given the stored quantity at last stocking, and deliveries to and withdrawals from the store
  - Testing integrity by volumetric, vacuum, acoustic, tracers, or other means on all tanks at regular intervals
  - Considering the monitoring groundwater of quality down gradient of locations where multiple USTs are in use
  - Evaluating the risk of existing UST in newly acquired facilities to determine if upgrades are required for USTs that will be continued to be used, including replacement with new systems or permanent closure of abandoned USTs.
- Ensuring that new USTs are sited away from wells,

<sup>45</sup> Additional details on the management of USTs is provided in the EHS Guidelines for Retail Petroleum Stations.

reservoirs and other source water protection areas and floodplains, and maintained so as to prevent corrosion.

## Management of Major Hazards

In addition to the application of the above-referenced guidance on prevention and control of releases of hazardous materials, projects involving production, handling, and storage of hazardous materials *at or above threshold limits*<sup>46</sup> should prepare a Hazardous Materials Risk Management Plan, in the context of its overall ES/OHS MS, containing all of the elements presented below.<sup>47</sup> The objective of this guidance is the prevention and control of catastrophic releases of toxic, reactive, flammable, or explosive chemicals that may result in toxic, fire, or explosion hazards.<sup>48</sup>

### Management Actions

- **Management of Change:** These procedures should address:
  - The technical basis for changes in processes and operations
  - The impact of changes on health and safety
  - Modification to operating procedures
  - Authorization requirements
  - Employees affected
  - Training needs
- **Compliance Audit:** A compliance audit is a way to evaluate compliance with the prevention program requirements for each process. A compliance audit covering each element of

the prevention measures (see below) should be conducted at least every three years and should include:

- Preparation of a report of the findings
- Determination and documentation of the appropriate response to each finding
- Documentation that any deficiency has been corrected
- **Incident Investigation:** Incidents can provide valuable information about site hazards and the steps needed to prevent accidental releases. An incident investigation mechanism should include procedures for:
  - Initiation of the investigation promptly
  - Summarizing the investigation in a report
  - Addressing the report findings and recommendations
  - A review of the report with staff and contractors
- **Employee Participation:** A written plan of action should describe an active employee participation program for the prevention of accidents.
- **Contractors:** There should be a mechanism for contractor control which should include a requirement for them to develop hazardous materials management procedures that meet the requirements of the hazardous materials management plan. Their procedures should be consistent with those of the contracting company and the contractor workforce should undergo the same training. Additionally, procedures should require that contractors are:
  - Provided with safety performance procedures and safety and hazard information
  - Observe safety practices
  - Act responsibly
  - Have access to appropriate training for their employees
  - Ensure that their employees know process hazards and applicable emergency actions

<sup>46</sup> Threshold quantities should be those established for emergency planning purposes such as provided in the US Environmental Protection Agency. *Protection of Environment* (Title 40 CFR Parts 300-399 and 700 to 789).

<sup>47</sup> For further information and guidance, please refer to International Finance Corporation (IFC) Hazardous Materials Risk Management Manual. Washington, D.C. December 2000.

<sup>48</sup> The approach to the management of major hazards is largely based on an approach to Process Safety Management developed by the American Institute of Chemical Engineers.

- Prepare and submit training records for their employees to the contracting company
- Inform their employees about the hazards presented by their work
- Assess trends of repeated similar incidents
- Develop and implement procedures to manage repeated similar incidents
- *Training.* Project employees should be provided training on Hazmat management. The training program should include:
  - A list of employees to be trained
  - Specific training objectives
  - Mechanisms to achieve the objectives (i.e., hands-on workshops, videos, etc.)
  - The means to determine whether the training program is effective
  - Training procedures for new hires and refresher courses for existing employees

### *Preventive Measures*

The purpose of preventive measures is to ensure that safety-related aspects of the process and equipment are considered, limits to be placed on the operations are well known, and accepted standards and codes are adopted, where they apply.

- *Process Safety Information:* Procedures should be prepared for each hazardous materials and include:
  - Compilation of Material Safety Data Sheets (MSDS)
  - Identification of maximum intended inventories and safe upper/lower parameters
  - Documentation of equipment specifications and of codes and standards used to design, build and operate the process
- *Operating Procedures:* SOPs should be prepared for each step of all processes or operations within the project (e.g.

initial startup, normal operations, temporary operations, emergency shutdown, emergency operations, normal shutdown, and start-up following a normal or emergency shutdown or major change). These SOPs should include special considerations for Mazmats used in the process or operations (e.g. temperature control to prevent emissions of a volatile hazardous chemical; diversion of gaseous discharges of hazardous pollutants from the process to a temporary storage tank in case of emergency).

Other procedures to be developed include impacts of deviations, steps to avoid deviations, prevention of chemical exposure, exposure control measures, and equipment inspections.

*Mechanical Integrity of process equipment, piping and instrumentation:* Inspection and maintenance procedures should be developed and documented to ensure mechanical integrity of equipment, piping, and instrumentation and prevent uncontrolled releases of hazardous materials from the project. These procedures should be included as part of the project SOPs. The specific process components of major interest include pressure vessels and storage tanks, piping systems, relief and vent systems and devices, emergency shutdown systems, controls, and pumps. Recommended aspects of the inspection and maintenance program include:

- Developing inspection and maintenance procedures
- Establishing a quality assurance plan for equipment, maintenance materials, and spare parts
- Conducting employee training on the inspection and maintenance procedures
- Conducting equipment, piping, and instrumentation inspections and maintenance
- Identifying and correcting identified deficiencies

- Evaluating the inspection and maintenance results and, if necessary, updating the inspection and maintenance procedures
- Reporting the results to management.
- *Hot Work Permit:* Hot work operations – such as brazing, torch-cutting, grinding, soldering, and welding – are associated with potential health, safety, and property hazards resulting from the fumes, gases, sparks, and hot metal and radiant energy produced during hot work. Hot work permit is required for any operation involving open flames or producing heat and/or sparks. The section of SOPs on hot work should include the responsibility for hot work permitting, personal protection equipment (PPE), hot work procedures, personnel training, and recordkeeping.
- *Pre-Start Review:* Procedures should be prepared to carry out pre-start reviews when a modification is significant enough to require a change in safety information under the management of change procedure. The procedures should:
  - Confirm that the new or modified construction and/or equipment meet design specifications
  - Ensure that procedures for safety, operation, maintenance, and emergency are adequate
  - Include a process hazard assessment, and resolve or implement recommendations for new process
  - Ensure that training for all affected employees is being conducted

### *Emergency Preparedness and Response*

When handling hazardous materials, procedures and practices should be developed allowing for quick and efficient responses to accidents that could result in human injury or damage to the environment. An Emergency Preparedness and Response Plan,

incorporated into and consistent with, the facility's overall ES/OHS MS, should be prepared to cover the following:<sup>49</sup>

- *Planning Coordination:* Procedures should be prepared for:
  - Informing the public and emergency response agencies
  - Documenting first aid and emergency medical treatment
  - Taking emergency response actions
  - Reviewing and updating the emergency response plan to reflect changes, and ensuring that employees are informed of such changes
- *Emergency Equipment:* Procedures should be prepared for using, inspecting, testing, and maintaining the emergency response equipment.
- *Training:* Employees and contractors should be trained on emergency response procedures.

### *Community Involvement and Awareness*

When hazardous materials are in use above threshold quantities, the management plan should include a system for community awareness, notification and involvement that should be commensurate with the potential risks identified for the project during the hazard assessment studies. This should include mechanisms for sharing the results of hazard and risk assessment studies in a timely, understandable and culturally sensitive manner with potentially affected communities that provides a means for public feedback. Community involvement activities should include:

- Availability of general information to the potentially affected community on the nature and extent of project operations, and the prevention and control measures in place to ensure no effects to human health

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<sup>49</sup> For a comprehensive treatment of the development of emergency response plans in conjunction with communities refer to the Awareness and Preparedness for Emergencies at Local Level (APELL) Guidelines available at: <http://www.uneptie.org/pc/apell/publications/handbooks.html>

- The potential for off-site effects to human health or the environment following an accident at planned or existing hazardous installations
- Specific and timely information on appropriate behavior and safety measures to be adopted in the event of an accident including practice drills in locations with higher risks
- Access to information necessary to understand the nature of the possible effect of an accident and an opportunity to contribute effectively, as appropriate, to decisions concerning hazardous installations and the development of community emergency preparedness plans.

## 1.6 Waste Management

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### Applicability and Approach

These guidelines apply to projects that generate, store, or handle any quantity of waste across a range of industry sectors. It is not intended to apply to projects or facilities where the primary business is the collection, transportation, treatment, or disposal of wastes. Specific guidance for these types of facilities is presented in the Environmental Health and Safety (EHS) Guidelines for Waste Management Facilities.

A *waste* is any solid, liquid, or contained gaseous material that is being discarded by disposal, recycling, burning or incineration. It can be byproduct of a manufacturing process or an obsolete commercial product that can no longer be used for intended purpose and requires disposal.

*Solid (non-hazardous) wastes* generally include any garbage, refuse. Examples of such waste include domestic trash and garbage; inert construction / demolition materials; refuse, such as metal scrap and empty containers (except those previously used to contain hazardous materials which should, in principle, be managed as a hazardous waste); and

residual waste from industrial operations, such as boiler slag, clinker, and fly ash.

*Hazardous waste* shares the properties of a hazardous material (e.g. ignitability, corrosivity, reactivity, or toxicity), or other physical, chemical, or biological characteristics that may pose a potential risk to human health or the environment if improperly managed. Wastes may also be defined as "hazardous" by local regulations or international conventions, based on the origin of the waste and its inclusion on hazardous waste lists, or based on its characteristics.

Sludge from a waste treatment plant, water supply treatment plant, or air pollution control facility, and other discarded material, including solid, liquid, semisolid, or contained gaseous material resulting from industrial operations needs to be evaluated on a case-by-case basis to establish whether it constitutes a hazardous or a non-hazardous waste.

Facilities that generate and store wastes should practice the following:

- Establishing waste management priorities at the outset of activities based on an understanding of potential Environmental, Health, and Safety (EHS) risks and impacts and considering waste generation and its consequences
- Establishing a waste management hierarchy that considers prevention, reduction, reuse, recovery, recycling, removal and finally disposal of wastes.
- Avoiding or minimizing the generation waste materials, as far as practicable
- Where waste generation cannot be avoided but has been minimized, recovering and reusing waste

- Where waste can not be recovered or reused, treating, destroying, and disposing of it in an environmentally sound manner

## General Waste Management

The following guidance applies to the management of non-hazardous and hazardous waste. Additional guidance specifically applicable to hazardous wastes is presented below. Waste management should be addressed through a Waste management system that addresses issues linked to waste minimization, generation, transport, disposal, and monitoring.

### *Waste Management Planning*

Facilities that generate waste should characterize their waste according to composition, source, types of wastes produced, generation rates, or according to local regulatory requirements. Effective planning and implementation of waste management strategies should include:

- Review of new waste sources during planning, siting, and design activities, including during equipment modifications and process alterations, to identify expected waste generation, pollution prevention opportunities, and necessary treatment, storage, and disposal infrastructure
- Collection of data and information about the process and waste streams in existing facilities, including characterization of waste streams by type, quantities, and potential use/disposition
- Establishment of priorities based on a risk analysis that takes into account the potential EHS risks during the waste cycle and the availability of infrastructure to manage the waste in an environmentally sound manner
- Definition of opportunities for source reduction, as well as reuse and recycling

- Definition of procedures and operational controls for on-site storage
- Definition of options / procedures / operational controls for treatment and final disposal

### *Waste Prevention*

Processes should be designed and operated to prevent, or minimize, the quantities of wastes generated and hazards associated with the wastes generated in accordance with the following strategy:

- Substituting raw materials or inputs with less hazardous or toxic materials, or with those where processing generates lower waste volumes
- Applying manufacturing process that convert materials efficiently, providing higher product output yields, including modification of design of the production process, operating conditions, and process controls<sup>50</sup>
- Instituting good housekeeping and operating practices, including inventory control to reduce the amount of waste resulting from materials that are out-of-date, off-specification, contaminated, damaged, or excess to plant needs
- Instituting procurement measures that recognize opportunities to return usable materials such as containers and which prevents the over ordering of materials
- Minimizing hazardous waste generation by implementing stringent waste segregation to prevent the commingling of non-hazardous and hazardous waste to be managed

<sup>50</sup> Examples of waste prevention strategies include the concept of Lean Manufacturing found at <http://www.epa.gov/epaoswer/hazwaste/minimize/lean.htm>

### *Recycling and Reuse*

In addition to the implementation of waste prevention strategies, the total amount of waste may be significantly reduced through the implementation of recycling plans, which should consider the following elements:

- Evaluation of waste production processes and identification of potentially recyclable materials
- Identification and recycling of products that can be reintroduced into the manufacturing process or industry activity at the site
- Investigation of external markets for recycling by other industrial processing operations located in the neighborhood or region of the facility (e.g., waste exchange)
- Establishing recycling objectives and formal tracking of waste generation and recycling rates
- Providing training and incentives to employees in order to meet objectives

### *Treatment and Disposal*

If waste materials are still generated after the implementation of feasible waste prevention, reduction, reuse, recovery and recycling measures, waste materials should be treated and disposed of and all measures should be taken to avoid potential impacts to human health and the environment. Selected management approaches should be consistent with the characteristics of the waste and local regulations, and may include one or more of the following:

- On-site or off-site biological, chemical, or physical treatment of the waste material to render it non-hazardous prior to final disposal
- Treatment or disposal at permitted facilities specially designed to receive the waste. Examples include: composting operations for organic non-hazardous

wastes; properly designed, permitted and operated landfills or incinerators designed for the respective type of waste; or other methods known to be effective in the safe, final disposal of waste materials such as bioremediation.

### *Hazardous Waste Management*

Hazardous wastes should always be segregated from non-hazardous wastes. If generation of hazardous waste can not be prevented through the implementation of the above general waste management practices, its management should focus on the prevention of harm to health, safety, and the environment, according to the following additional principles:

- Understanding potential impacts and risks associated with the management of any generated hazardous waste during its complete life cycle
- Ensuring that contractors handling, treating, and disposing of hazardous waste are reputable and legitimate enterprises, licensed by the relevant regulatory agencies and following good international industry practice for the waste being handled
- Ensuring compliance with applicable local and international regulations<sup>51</sup>

### *Waste Storage*

Hazardous waste should be stored so as to prevent or control accidental releases to air, soil, and water resources in area location where:

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<sup>51</sup> International requirements may include host-country commitments under the Basel Convention on the Control of Transboundary Movements of Hazardous Waste and their disposal (<http://www.basel.int/>) and Rotterdam Convention on the prior Inform Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (<http://www.pic.int/>)

- Waste is stored in a manner that prevents the commingling or contact between incompatible wastes, and allows for inspection between containers to monitor leaks or spills. Examples include sufficient space between incompatibles or physical separation such as walls or containment curbs
- Store in closed containers away from direct sunlight, wind and rain
- Secondary containment systems should be constructed with materials appropriate for the wastes being contained and adequate to prevent loss to the environment
- Secondary containment is included wherever liquid wastes are stored in volumes greater than 220 liters. The available volume of secondary containment should be at least 110 percent of the largest storage container, or 25 percent of the total storage capacity (whichever is greater), in that specific location
- Provide adequate ventilation where volatile wastes are stored.
- Preparing and implementing spill response and emergency plans to address their accidental release (additional information on Emergency Plans is provided in Section 3 of this document)
- Avoiding underground storage tanks and underground piping of hazardous waste

### *Transportation*

On-site and Off-site transportation of waste should be conducted so as to prevent or minimize spills, releases, and exposures to employees and the public. All waste containers designated for off-site shipment should be secured and labeled with the contents and associated hazards, be properly loaded on the transport vehicles before leaving the site, and be accompanied by a shipping paper (i.e., manifest) that describes the load and its associated hazards, consistent with the guidance provided in Section 3.4 on the Transport of Hazardous Materials.

### *Treatment and Disposal*

In addition to the recommendations for treatment and disposal applicable to general wastes, the following issues specific to hazardous wastes should be considered:

#### **Commercial or Government Waste Contractors**

In the absence of qualified commercial or government-owned waste vendors (taking into consideration proximity and transportation requirements), facilities generating waste should consider using:

Hazardous waste storage activities should also be subject to special management actions, conducted by employees who have received specific training in handling and storage of hazardous wastes:

- Provision of readily available information on chemical compatibility to employees, including labeling each container to identify its contents
- Limiting access to hazardous waste storage areas to employees who have received proper training
- Clearly identifying (label) and demarcating the area, including documentation of its location on a facility map or site plan
- Conducting periodic inspections of waste storage areas and documenting the findings
- Have the technical capability to manage the waste in a manner that reduces immediate and future impact to the environment
- Have all required permits, certifications, and approvals, of applicable government authorities

- Have been secured through the use of formal procurement agreements

In the absence of qualified commercial or government-owned waste disposal operators (taking into consideration proximity and transportation requirements), project sponsors should consider using:

- Installing on-site waste treatment or recycling processes
- As a final option, constructing facilities that will provide for the environmental sound long-term storage of wastes on-site (as described elsewhere in the General EHS Guidelines) or at an alternative appropriate location up until external commercial options become available

### Small Quantities of Hazardous Waste

Hazardous waste materials are frequently generated in small quantities by many projects through a variety of activities such as equipment and building maintenance activities.

Examples of these types of wastes include: spent solvents and oily rags, empty paint cans, chemical containers; used lubricating oil; used batteries (such as nickel-cadmium or lead acid); and lighting equipment, such as lamps or lamp ballasts. These wastes should be managed following the guidance provided in the above sections.

### Monitoring

Monitoring activities associated with the management of hazardous and non-hazardous waste should include:

- Regular visual inspection of all waste storage collection and storage areas for evidence of accidental releases and to verify that wastes are properly labeled and stored. When significant quantities of hazardous wastes

are generated and stored on site, monitoring activities should include:

- Inspection of vessels for leaks, drips or other indications of loss
- Identification of cracks, corrosion, or damage to tanks, protective equipment, or floors
- Verification of locks, emergency valves, and other safety devices for easy operation (lubricating if required and employing the practice of keeping locks and safety equipment in standby position when the area is not occupied)
- Checking the operability of emergency systems
- Documenting results of testing for integrity, emissions, or monitoring stations (air, soil vapor, or groundwater)
- Documenting any changes to the storage facility, and any significant changes in the quantity of materials in storage
- Regular audits of waste segregation and collection practices
- Tracking of waste generation trends by type and amount of waste generated, preferably by facility departments
- Characterizing waste at the beginning of generation of a new waste stream, and periodically documenting the characteristics and proper management of the waste, especially hazardous wastes
- Keeping manifests or other records that document the amount of waste generated and its destination
- Periodic auditing of third party treatment, and disposal services including re-use and recycling facilities when significant quantities of hazardous wastes are managed by third parties. Whenever possible, audits should include site visits to the treatment storage and disposal location

- Regular monitoring of groundwater quality in cases of Hazardous Waste on site storage and/or pretreatment and disposal
- Monitoring records for hazardous waste collected, stored, or shipped should include:
  - Name and identification number of the material(s) composing the hazardous waste
  - Physical state (i.e., solid, liquid, gaseous or a combination of one, or more, of these)
  - Quantity (e.g., kilograms or liters, number of containers)
  - Waste shipment tracking documentation to include, quantity and type, date dispatched, date transported and date received, record of the originator, the receiver and the transporter
  - Method and date of storing, repacking, treating, or disposing at the facility, cross-referenced to specific manifest document numbers applicable to the hazardous waste
  - Location of each hazardous waste within the facility, and the quantity at each location

## 1.7 Noise

### Applicability

This section addresses impacts of noise beyond the property boundary of the facilities. Worker exposure to noise is covered in Section 2.0 on Occupational Health and Safety.

### Prevention and Control

Noise prevention and mitigation measures should be applied where predicted or measured noise impacts from a project facility or operations exceed the applicable noise level guideline at the most sensitive point of reception.<sup>52</sup> The preferred method for controlling noise from stationary sources is to implement noise control measures at source.<sup>53</sup>

Methods for prevention and control of sources of noise emissions depend on the source and proximity of receptors.

Noise reduction options that should be considered include:

- Selecting equipment with lower sound power levels
- Installing silencers for fans
- Installing suitable mufflers on engine exhausts and compressor components
- Installing acoustic enclosures for equipment casing radiating noise
- Improving the acoustic performance of constructed buildings, apply sound insulation
- Installing acoustic barriers without gaps and with a continuous minimum surface density of 10 kg/m<sup>2</sup> in order to minimize the transmission of sound through the

barrier. Barriers should be located as close to the source or to the receptor location to be effective

- Installing vibration isolation for mechanical equipment
- Limiting the hours of operation for specific pieces of equipment or operations, especially mobile sources operating through community areas
- Re-locating noise sources to less sensitive areas to take advantage of distance and shielding
- Siting permanent facilities away from community areas if possible
- Taking advantage of the natural topography as a noise buffer during facility design
- Reducing project traffic routing through community areas wherever possible
- Planning flight routes, timing and altitude for aircraft (airplane and helicopter) flying over community areas
- Developing a mechanism to record and respond to complaints

### Noise Level Guidelines

Noise impacts should not exceed the levels presented in Table 1.7.1, or result in a maximum increase in background levels of 3 dB at the nearest receptor location off-site.

<sup>52</sup> A point of reception or receptor may be defined as any point on the premises occupied by persons where extraneous noise and/or vibration are received. Examples of receptor locations may include: permanent or seasonal residences; hotels / motels; schools and daycares; hospitals and nursing homes; places of worship; and parks and campgrounds.

<sup>53</sup> At the design stage of a project, equipment manufacturers should provide design or construction specifications in the form of "Insertion Loss Performance" for silencers and mufflers, and "Transmission Loss Performance" for acoustic enclosures and upgraded building construction.

**Table 1.7.1- Noise Level Guidelines<sup>54</sup>**

Receptor	One Hour $L_{Aeq}$ (dBA)	
	Daytime 07:00 - 22:00	Nighttime 22:00 - 07:00
Residential; institutional; educational <sup>55</sup>	55	45
Industrial; commercial	70	70

m to any reflecting surface (e.g., wall). In general, the noise level limit is represented by the background or ambient noise levels that would be present in the absence of the facility or noise source(s) under investigation.

Highly intrusive noises, such as noise from aircraft flyovers and passing trains, should not be included when establishing background noise levels.

### *Monitoring*

Noise monitoring<sup>56</sup> may be carried out for the purposes of establishing the existing ambient noise levels in the area of the proposed or existing facility, or for verifying operational phase noise levels.

Noise monitoring programs should be designed and conducted by trained specialists. Typical monitoring periods should be sufficient for statistical analysis and may last 48 hours with the use of noise monitors that should be capable of logging data continuously over this time period, or hourly, or more frequently, as appropriate (or else cover differing time periods within several days, including weekday and weekend workdays). The type of acoustic indices recorded depends on the type of noise being monitored, as established by a noise expert. Monitors should be located approximately 1.5 m above the ground and no closer than 3

<sup>54</sup> Guidelines values are for noise levels measured out of doors. Source: Guidelines for Community Noise, World Health Organization (WHO), 1999.

<sup>55</sup> For acceptable indoor noise levels for residential, institutional, and educational settings refer to WHO (1999).

<sup>56</sup> Noise monitoring should be carried out using a Type 1 or 2 sound level meter meeting all appropriate IEC standards.

## 1.8 Contaminated Land

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### Applicability and Approach

This section provides a summary of management approaches for land contamination due to anthropogenic releases of hazardous materials, wastes, or oil, including naturally occurring substances. Releases of these materials may be the result of historic or current site activities, including, but not limited to, accidents during their handling and storage, or due to their poor management or disposal.

Land is considered contaminated when it contains hazardous materials or oil concentrations above background or naturally occurring levels.

Contaminated lands may involve surficial soils or subsurface soils that, through leaching and transport, may affect groundwater, surface water, and adjacent sites. Where subsurface contaminant sources include volatile substances, soil vapor may also become a transport and exposure medium, and create potential for contaminant infiltration of indoor air spaces of buildings.

Contaminated land is a concern because of:

- The potential risks to human health and ecology (e.g. risk of cancer or other human health effects, loss of ecology);

- The liability that it may pose to the polluter/business owners (e.g., cost of remediation, damage of business reputation and/or business-community relations) or affected parties (e.g. workers at the site, nearby property owners).

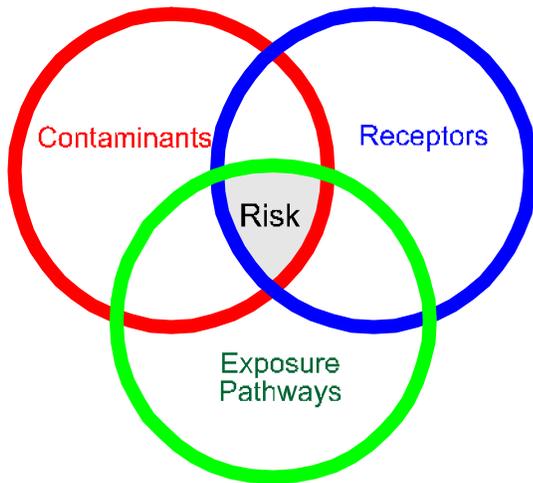
Contamination of land should be avoided by preventing or controlling the release of hazardous materials, hazardous wastes, or oil to the environment. When contamination of land is suspected or confirmed during any project phase, the cause of the uncontrolled release should be identified and corrected to avoid further releases and associated adverse impacts.

Contaminated lands should be managed to avoid the risk to human health and ecological receptors. The preferred strategy for land decontamination is to reduce the level of contamination at the site while preventing the human exposure to contamination.

To determine whether risk management actions are warranted, the following assessment approach should be applied to establish whether the three risk factors of 'Contaminants', 'Receptors', and 'Exposure Pathways' co-exist, or are likely to co-exist, at the project site under current or possible future land use:

- *Contaminant(s)*: Presence of hazardous materials, waste, or oil in any environmental media at potentially hazardous concentrations
- *Receptor(s)*: Actual or likely contact of humans, wildlife, plants, and other living organisms with the contaminants of concern
- *Exposure pathway(s)*: A combination of the route of migration of the contaminant from its point of release (e.g., leaching into potable groundwater) and exposure routes

(e.g., ingestion, transdermal absorption), which would allow receptor(s) to come into actual contact with contaminants



**FIGURE 1.8.1: Inter-Relationship of Contaminant Risk Factors**

When the three risk factors are considered to be present (in spite of limited data) under current or foreseeable future conditions, the following steps should be followed (as described in the remaining parts of this section):

- 1) Risk screening;
- 2) Interim risk management;
- 3) Detailed quantitative risk assessment; and
- 4) Permanent risk reduction measures.

## Risk Screening

This step is also known as “problem formulation” for environmental risk assessment. Where there is potential evidence of contamination at a site, the following steps are recommended:

- Identification of the location of suspected highest level of contamination through a combination of visual and historical operational information;
- Sampling and testing of the contaminated media (soils or water) according to established technical methods applicable to suspected type of contaminant<sup>57,58</sup>;
- Evaluation of the analytical results against the local and national contaminated sites regulations. In the absence of such regulations or environmental standards, other sources of risk-based standards or guidelines should be consulted to obtain comprehensive criteria for screening soil concentrations of pollutants.<sup>59</sup>
- Verification of the potential human and/or ecological receptors and exposure pathways relevant to the site in question

The outcome of risk-screening may reveal that there is no overlap between the three risk-factors as the contaminant levels identified are below those considered to pose a risk to human health or the environment. Alternatively, interim or permanent

<sup>57</sup> BC MOE. [http://www.env.gov.bc.ca/epd/epdpa/contam\\_sites/guidance](http://www.env.gov.bc.ca/epd/epdpa/contam_sites/guidance)

<sup>58</sup> Massachusetts Department of Environment. <http://www.mass.gov/dep/cleanup>

<sup>59</sup> These may include the USEPA Region 3 Risk-Based Concentrations (RBCs). <http://www.epa.gov/reg3hwmd/risk/human/index.htm>. These RBCs are considered acceptable for specific land use and contaminant exposure scenarios as they have been developed by governments using risk assessment techniques for use as general targets in the site remediation. Separate PRGs have been developed or adopted for soil, sediment or groundwater, and often a distinction is made between land uses (as noted earlier) because of the need for more stringent guidelines for residential and agricultural versus commercial/industrial landuse. The RBC Tables contains Reference Doses (RfDs) and Cancer Slope Factors (CSFs) for about 400 chemicals. These toxicity factors have been combined with “standard” exposure scenarios to calculate RBCs--chemical concentrations corresponding to fixed levels of risk (i.e., a Hazard Quotient (HQ) of 1, or lifetime cancer risk of 1E-6, whichever occurs at a lower concentration) in water, air, fish tissue, and soil for individual chemical substances. The primary use of RBCs is for chemical screening during baseline risk assessment (see EPA Regional Guidance EPA/903/R-93-001, “Selecting Exposure Routes and Contaminants of Concern by Risk-Based Screening”). Additional useful soil quality guidelines can also be obtained from Lijzen et al. 2001.

risk reduction measures may need to be taken with, or without, more detailed risk assessment activities, as described below.

## Interim Risk Management

Interim risk management actions should be implemented at any phase of the project life cycle if the presence of land contamination poses an "imminent hazard", i.e., representing an immediate risk to human health and the environment if contamination were allowed to continue, even a short period of time. Examples of situations considered to involve imminent hazards include, but are not restricted to:

- Presence of an explosive atmosphere caused by contaminated land
- Accessible and excessive contamination for which short-term exposure and potency of contaminants could result in acute toxicity, irreversible long term effects, sensitization, or accumulation of persistent biocumulative and toxic substances
- Concentrations of pollutants at concentrations above the Risk Based Concentrations (RBCs<sup>60</sup>) or drinking water standards in potable water at the point of abstraction

Appropriate risk reduction should be implemented as soon as practicable to remove the condition posing the imminent hazard.

## Detailed Risk Assessment

As an alternative to complying with numerical standards or preliminary remediation goals, and depending on local regulatory requirements, a detailed site-specific, environmental risk assessment may be used to develop

strategies that yield acceptable health risks, while achieving low level contamination on-site. An assessment of contaminant risks needs to be considered in the context of current and future land use, and development scenarios (e.g., residential, commercial, industrial, and urban parkland or wilderness use).

A detailed quantitative risk assessment builds on risk screening (problem formulation). It involves first, a detailed site investigation to identify the scope of contamination.<sup>61</sup> Site investigation programs should apply quality assurance/quality control (QA/QC) measures to ensure that data quality is adequate for the intended data use (e.g., method detection limits are below levels of concern). The site investigation in turn should be used to develop a *conceptual site model* of how and where contaminants exist, how they are transported, and where routes of exposure occur to organisms and humans. The risk factors and conceptual site model provide a framework for assessing contaminant risks.

Human or ecological risk assessments facilitate risk management decisions at contaminated sites. Specific risk assessment objectives include:

- Identifying relevant human and ecological receptors (e.g., children, adults, fish, wildlife)
- Determining if contaminants are present at levels that pose potential human health and/or ecological concerns (e.g., levels above applicable regulatory criteria based on health or environmental risk considerations)
- Determining how human or ecological receptors are exposed to the contaminants (e.g., ingestions of soil, dermal contact, inhalation of dust)

<sup>60</sup> For example, USEPA Region 3 Risk-Based Concentrations (RBCs). <http://www.epa.gov/reg3hwmd/risk/human/index.htm>.

<sup>61</sup> Examples include processes defined by the American Society of Testing and Materials (ASTM) Phase II ESA Process; the British Columbia Ministry of Environment Canada (BC MOE) [http://www.env.gov.bc.ca/epd/epdpa/contam\\_sites/guidance](http://www.env.gov.bc.ca/epd/epdpa/contam_sites/guidance); and the Massachusetts Department of Environment <http://www.mass.gov/dep/cleanup>.

- Identifying the types of adverse effects that might result from exposure to the contaminants (e.g., effect on target organ, cancer, impaired growth or reproduction) in the absence of regulatory standards
- Quantifying the magnitude of health risks to human and ecological receptors based on a quantitative analysis of contaminant exposure and toxicity (e.g. calculate lifetime cancer risk or ratios of estimated exposure rates compared to safe exposure rates)
- Determining how current and proposed future land use influence the predicted risks (e.g. change of land use from industrial to residential with more sensitive receptors such as children)
- Quantifying the potential environmental and/or human health risks from off-site contaminant migration (e.g., consider if leaching and groundwater transport, or surface water transport results in exposure at adjacent lands/receptors)
- Determining if the risk is likely to remain stable, increase, or decrease with time in the absence of any remediation (e.g., consider if the contaminant is reasonably degradable and likely to remain in place, or be transported to other media)<sup>62</sup>

Addressing these objectives provides a basis to develop and implement risk reduction measures (e.g., clean-up, on-site controls) at the site. If such a need exists, the following additional objectives become relevant:

- Determining where, and in what conceptual manner, risk reduction measures should be implemented

- Identifying the preferred technologies (including engineering controls) needed to implement the conceptual risk reduction measures
- Developing a monitoring plan to ascertain whether risk reduction measures are effective
- Considering the need and appropriateness for institutional controls (e.g. deed restriction, land use restrictions) as part of a comprehensive approach

### Permanent Risk Reduction Measures

The *risk factors* and *conceptual site model* within the contaminant risk approach described also provide a basis to manage and mitigate environmental contaminant health risks. The underlying principle is to reduce, eliminate, or control any or all of the three risk factors illustrated in Figure 1.8.1. A short list of examples of risk mitigation strategies is provided below, although actual strategies should be developed based on site-specific conditions, and the practicality of prevailing factors and site constraints. Regardless of the management options selected, the action plan should include, whenever possible, *contaminant source reduction* (i.e., net improvement of the site) as part of the overall strategy towards managing health risks at contaminated sites, as this alone provides for improved environmental quality.

Figure 1.8.2 presents a schematic of the inter-relationship of risk factors and example strategies to mitigate contaminant health risk by modifying the conditions of one or more risk factors to ultimately reduce contaminant exposure to the receptor. The selected approach should take into consideration the technical and financial feasibility (e.g. operability of a selected technology given the local availability of technical expertise and equipment and its associated costs).

Example risk mitigation strategies for contaminant source and exposure concentrations include:

<sup>62</sup> An example of a simplified quantitative risk assessment method is the ASTM E1739-95(2002) Standard Guide for Risk-Based Corrective Action Applied at Petroleum Release Sites and the ASTM E2081-00(2004)e1 Standard Guide for Risk-Based Corrective Action (at chemical release sites).

- Soil, sediment, and sludge:
  - In situ biological treatment (aerobic or anaerobic)
  - In situ physical/chemical treatment (e.g., soil vapor extraction with off-gas treatment, chemical oxidation)
  - In situ thermal treatment (e.g., steam injection, 6-phase heating)
  - Ex situ biological treatment (e.g., excavation and composting)
  - Ex situ physical/chemical treatment (e.g., excavation and stabilization)
  - Ex situ thermal treatment (e.g., excavation and thermal desorption or incineration)
  - Containment (e.g. landfill)
  - Natural attenuation
  - Other treatment processes
- Groundwater, surface water, and leachate:
  - In situ biological treatment (aerobic and/or aerobic)
  - In situ physical/chemical treatment (e.g., air sparging, zero-valent iron permeable reactive barrier)
  - Ex situ biological, physical, and or chemical treatment (i.e., groundwater extraction and treatment)
  - Containment (e.g., slurry wall or sheet pile barrier)
  - Natural attenuation
  - Other treatment processes
- Soil vapor intrusion:
  - Soil vapor extraction to reduce VOC contaminant source in soil
  - Installation of a sub-slab depressurization system to prevent migration of soil vapor into the building
  - Creating a positive pressure condition in buildings

- Installation (during building construction) of an impermeable barrier below the building and/or an alternative flow pathway for soil vapor beneath building foundations (e.g., porous media and ventilation to shunt vapors away from building)

Example risk mitigation strategies for receptors include:

- Limiting or preventing access to contaminant by receptors (actions targeted at the receptor may include signage with instructions, fencing, or site security)
- Imposing health advisory or prohibiting certain practices leading to exposure such as fishing, crab trapping, shellfish collection
- Educating receptors (people) to modify behavior in order to reduce exposure (e.g., improved work practices, and use of protective clothing and equipment)

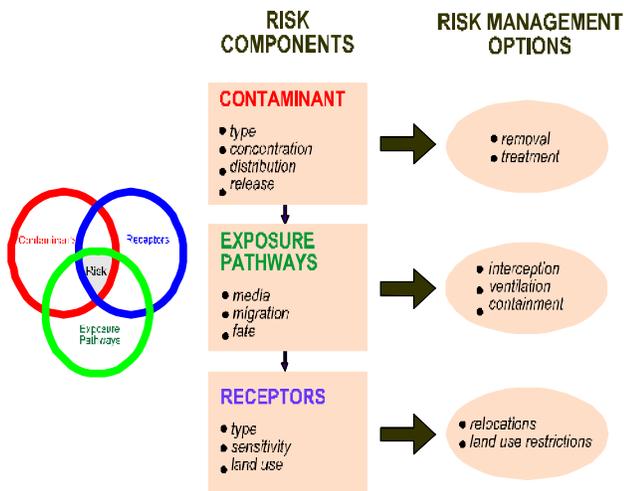
Example risk mitigation strategies for exposure pathways include:

- Providing an alternative water supply to replace, for example, a contaminated groundwater supply well
- Capping contaminated soil with at least 1m of clean soil to prevent human contact, as well as plant root or small mammal penetration into contaminated soils
- Paving over contaminated soil as an interim measure to negate the pathway of direct contact or dust generation and inhalation
- Using an interception trench and pump, and treat technologies to prevent contaminated groundwater from discharging into fish streams

The above-reference containment measures should also be considered for immediate implementation in situations where source reduction measures are expected to take time.

## Occupational Health and Safety Considerations

Investigation and remediation of contaminated lands requires that workers be mindful of the occupational exposures that could arise from working in close contact with contaminated soil or other environmental media (e.g., groundwater, wastewater, sediments, and soil vapor). Occupational health and safety precautions should be exercised to minimize exposure, as described in Section 2 on Occupational Health and Safety. In addition, workers on contaminated sites should receive special health and safety training specific to contaminated site investigation and remediation activities.<sup>63</sup>



**FIGURE 1.8.2: Inter-Relationship of Risk Factors and Management Options**

<sup>63</sup> For example, US Occupational Safety and Health Agency (OSHA) regulations found at 40 CFR 1910.120. [http://www.osha.gov/pls/oshaweb/owadisp.show\\_document?p\\_table=STAN DARDS&p\\_id=9765](http://www.osha.gov/pls/oshaweb/owadisp.show_document?p_table=STAN DARDS&p_id=9765)

## 2.0 Occupational Health and Safety

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### Applicability and Approach

Employers and supervisors are obliged to implement all reasonable precautions to protect the health and safety of workers. This section provides guidance and examples of reasonable precautions to implement in managing principal risks to occupational health and safety. Although the focus is placed on the operational phase of projects, much of the guidance also applies to construction and decommissioning activities.

Companies should hire contractors that have the technical capability to manage the occupational health and safety issues of their employees, extending the application of the hazard management activities through formal procurement agreements.

Preventive and protective measures should be introduced according to the following order of priority:

- *Eliminating the hazard* by removing the activity from the work process. Examples include substitution with less hazardous chemicals, using different manufacturing processes, etc;
- *Controlling the hazard* at its source through use of engineering controls. Examples include local exhaust ventilation, isolation rooms, machine guarding, acoustic insulating, etc;
- *Minimizing the hazard* through design of safe work systems and administrative or institutional control measures. Examples include job rotation, training safe work procedures, lock-out and tag-out, workplace monitoring, limiting exposure or work duration, etc.
- *Providing appropriate personal protective equipment (PPE)* in conjunction with training, use, and maintenance of the PPE.

The application of prevention and control measures to occupational hazards should be based on comprehensive job

safety or job hazard analyses. The results of these analyses should be prioritized as part of an action plan based on the likelihood and severity of the consequence of exposure to the identified hazards. An example of a qualitative risk ranking or analysis matrix to help identify priorities is described in Table 2.1.1.

## 2.1 General Facility Design and Operation

### *Integrity of Workplace Structures*

Permanent and recurrent places of work should be designed and equipped to protect OHS:

- Surfaces, structures and installations should be easy to clean and maintain, and not allow for accumulation of hazardous compounds.
- Buildings should be structurally safe, provide appropriate protection against the climate, and have acceptable light and noise conditions.
- Fire resistant, noise-absorbing materials should, to the extent feasible, be used for cladding on ceilings and walls.
- Floors should be level, even, and non-skid.
- Heavy oscillating, rotating or alternating equipment should be located in dedicated buildings or structurally isolated sections.

### *Severe Weather and Facility Shutdown*

- Work place structures should be designed and constructed to withstand the expected elements for the region and have an area designated for safe refuge, if appropriate.
- Standard Operating Procedures (SOPs) should be developed for project or process shut-down, including an evacuation plan. Drills to practice the procedure and plan should also be undertaken annually.

**Table 2.1.1. Risk Ranking Table to Classify Worker Scenarios Based on Likelihood and Consequence**

Likelihood	Consequences				
	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
A. Almost certain	L	M	E	E	E
B. Likely	L	M	H	E	E
C. Moderate	L	M	H	E	E
D. Unlikely	L	L	M	H	E
E. Rare	L	L	M	H	H

*Legend*  
*E: extreme risk; immediate action required*  
*H: high risk; senior management attention needed*  
*M: moderate risk; management responsibility should be specified*  
*L: low risk; manage by routine procedures*

### *Workspace and Exit*

- The space provided for each worker, and in total, should be adequate for safe execution of all activities, including transport and interim storage of materials and products.
- Passages to emergency exits should be unobstructed at all times. Exits should be clearly marked to be visible in total darkness. The number and capacity of emergency exits should be sufficient for safe and orderly evacuation of the greatest number of people present at any time, and there should be a minimum two exits from any work area.

- Facilities also should be designed and built taking into account the needs of disabled persons.

### *Fire Precautions*

The workplace should be designed to prevent the start of fires through the implementation of fire codes applicable to industrial settings. Other essential measures include:

- Equipping facilities with fire detectors, alarm systems, and fire-fighting equipment. The equipment should be maintained in good working order and be readily accessible. It should be adequate for the dimensions and use of the premises, equipment installed, physical and chemical properties of substances present, and the maximum number of people present.
- Provision of manual firefighting equipment that is easily accessible and simple to use
- Fire and emergency alarm systems that are both audible and visible

The IFC Life and Fire Safety Guideline should apply to buildings accessible to the public (See Section 3.3).

### *Lavatories and Showers*

- Adequate lavatory facilities (toilets and washing areas) should be provided for the number of people expected to work in the facility and allowances made for segregated facilities, or for indicating whether the toilet facility is "In Use" or "Vacant". Toilet facilities should also be provided with adequate supplies of hot and cold running water, soap, and hand drying devices.
- Where workers may be exposed to substances poisonous by ingestion and skin contamination may occur, facilities for showering and changing into and out of street and work clothes should be provided.

### *Potable Water Supply*

- Adequate supplies of potable drinking water should be provided from a fountain with an upward jet or with a sanitary means of collecting the water for the purposes of drinking
- Water supplied to areas of food preparation or for the purpose of personal hygiene (washing or bathing) should meet drinking water quality standards

### *Clean Eating Area*

- Where there is potential for exposure to substances poisonous by ingestion, suitable arrangements are to be made for provision of clean eating areas where workers are not exposed to the hazardous or noxious substances

### *Lighting*

- Workplaces should, to the degree feasible, receive natural light and be supplemented with sufficient artificial illumination to promote workers' safety and health, and enable safe equipment operation. Supplemental 'task lighting' may be required where specific visual acuity requirements should be met.
- Emergency lighting of adequate intensity should be installed and automatically activated upon failure of the principal artificial light source to ensure safe shut-down, evacuation, etc.

### *Safe Access*

- Passageways for pedestrians and vehicles within and outside buildings should be segregated and provide for easy, safe, and appropriate access
- Equipment and installations requiring servicing, inspection, and/or cleaning should have unobstructed, unrestricted, and ready access
- Hand, knee and foot railings should be installed on stairs, fixed ladders, platforms, permanent and interim floor openings, loading bays, ramps, etc.

- Openings should be sealed by gates or removable chains
- Covers should, if feasible, be installed to protect against falling items
- Measures to prevent unauthorized access to dangerous areas should be in place

### *First Aid*

- The employer should ensure that qualified first-aid can be provided at all times. Appropriately equipped first-aid stations should be easily accessible throughout the place of work
- Eye-wash stations and/or emergency showers should be provided close to all workstations where immediate flushing with water is the recommended first-aid response
- Where the scale of work or the type of activity being carried out so requires, dedicated and appropriately equipped first-aid room(s) should be provided. First aid stations and rooms should be equipped with gloves, gowns, and masks for protection against direct contact with blood and other body fluids
- Remote sites should have written emergency procedures in place for dealing with cases of trauma or serious illness up to the point at which patient care can be transferred to an appropriate medical facility.

### *Air Supply*

- Sufficient fresh air should be supplied for indoor and confined work spaces. Factors to be considered in ventilation design include physical activity, substances in use, and process-related emissions. Air distribution systems should be designed so as not to expose workers to draughts
- Mechanical ventilation systems should be maintained in good working order. Point-source exhaust systems required for maintaining a safe ambient environment should have local indicators of correct functioning.
- Re-circulation of contaminated air is not acceptable. Air inlet filters should be kept clean and free of dust and

microorganisms. Heating, ventilation and air conditioning (HVAC) and industrial evaporative cooling systems should be equipped, maintained and operated so as to prevent growth and spreading of disease agents (e.g. *Legionella pneumophila*) or breeding of vectors (e.g. mosquitoes and flies) of public health concern.

### *Work Environment Temperature*

- The temperature in work, rest room and other welfare facilities should, during service hours, be maintained at a level appropriate for the purpose of the facility.

## 2.2 Communication and Training

### *OHS Training*

- Provisions should be made to provide OHS orientation training to all new employees to ensure they are apprised of the basic site rules of work at / on the site and of personal protection and preventing injury to fellow employees.
- Training should consist of basic hazard awareness, site-specific hazards, safe work practices, and emergency procedures for fire, evacuation, and natural disaster, as appropriate. Any site-specific hazard or color coding in use should be thoroughly reviewed as part of orientation training.

### *Visitor Orientation*

- If visitors to the site can gain access to areas where hazardous conditions or substances may be present, a visitor orientation and control program should be established to ensure visitors do not enter hazard areas unescorted.

### *New Task Employee and Contractor Training*

- The employer should ensure that workers and contractors, prior to commencement of new assignments, have received adequate training and information enabling them to

understand work hazards and to protect their health from hazardous ambient factors that may be present.

The training should adequately cover:

- Knowledge of materials, equipment, and tools
- Known hazards in the operations and how they are controlled
- Potential risks to health
- Precautions to prevent exposure
- Hygiene requirements
- Wearing and use of protective equipment and clothing
- Appropriate response to operation extremes, incidents and accidents

### *Basic OHS Training*

- A basic occupational training program and specialty courses should be provided, as needed, to ensure that workers are oriented to the specific hazards of individual work assignments. Training should generally be provided to management, supervisors, workers, and occasional visitors to areas of risks and hazards.
- Workers with rescue and first-aid duties should receive dedicated training so as not to inadvertently aggravate exposures and health hazards to themselves or their co-workers. Training would include the risks of becoming infected with blood-borne pathogens through contact with bodily fluids and tissue.
- Through appropriate contract specifications and monitoring, the employer should ensure that service providers, as well as contracted and subcontracted labor, are trained adequately before assignments begin.

### *Area Signage*

- Hazardous areas (electrical rooms, compressor rooms, etc), installations, materials, safety measures, and emergency exits, etc. should be marked appropriately.

- Signage should be in accordance with international standards and be well known to, and easily understood by workers, visitors and the general public as appropriate.

### *Labeling of Equipment*

- All vessels that may contain substances that are hazardous as a result of chemical or toxicological properties, or temperature or pressure, should be labeled as to the contents and hazard, or appropriately color coded.
- Similarly, piping systems that contain hazardous substances should be labeled with the direction of flow and contents of the pipe, or color coded whenever the pipe passing through a wall or floor is interrupted by a valve or junction device.

### *Communicate Hazard Codes*

- Copies of the hazard coding system should be posted outside the facility at emergency entrance doors and fire emergency connection systems where they are likely to come to the attention of emergency services personnel.
- Information regarding the types of hazardous materials stored, handled or used at the facility, including typical maximum inventories and storage locations, should be shared proactively with emergency services and security personnel to expedite emergency response when needed.
- Representatives of local emergency and security services should be invited to participate in periodic (annual) orientation tours and site inspections to ensure familiarity with potential hazards present.

## **2.3 Physical Hazards**

Physical hazards represent potential for accident or injury or illness due to repetitive exposure to mechanical action or work activity. Single exposure to physical hazards may result in a wide range of injuries, from minor and medical aid only, to disabling, catastrophic, and/or fatal. Multiple exposures over prolonged

periods can result in disabling injuries of comparable significance and consequence.

### *Rotating and Moving Equipment*

Injury or death can occur from being trapped, entangled, or struck by machinery parts due to unexpected starting of equipment or unobvious movement during operations. Recommended protective measures include:

- Designing machines to eliminate trap hazards and ensuring that extremities are kept out of harm's way under normal operating conditions. Examples of proper design considerations include two-hand operated machines to prevent amputations or the availability of emergency stops dedicated to the machine and placed in strategic locations. Where a machine or equipment has an exposed moving part or exposed pinch point that may endanger the safety of any worker, the machine or equipment should be equipped with, and protected by, a guard or other device that prevents access to the moving part or pinch point. Guards should be designed and installed in conformance with appropriate machine safety standards.<sup>64</sup>
- Turning off, disconnecting, isolating, and de-energizing (Locked Out and Tagged Out) machinery with exposed or guarded moving parts, or in which energy can be stored (e.g. compressed air, electrical components) during servicing or maintenance, in conformance with a standard such as CSA Z460 Lockout or equivalent ISO or ANSI standard
- Designing and installing equipment, where feasible, to enable routine service, such as lubrication, without removal of the guarding devices or mechanisms

<sup>64</sup> For example: CSA Z432.04 Safe Guarding of Machinery, CSA Z434 Robot Safety, ISO 11161 Safety of Machinery – Integrated Manufacturing Systems or ISO 14121 Safety of Machinery – Principles of Risk Management or equivalent ANSI standard.

### *Noise*

Noise limits for different working environments are provided in Table 2.3.1.

- No employee should be exposed to a noise level greater than 85 dB(A) for a duration of more than 8 hours per day without hearing protection. In addition, no unprotected ear should be exposed to a peak sound pressure level (instantaneous) of more than 140 dB(C).
- The use of hearing protection should be enforced actively when the equivalent sound level over 8 hours reaches 85 dB(A), the peak sound levels reach 140 dB(C), or the average maximum sound level reaches 110dB(A). Hearing protective devices provided should be capable of reducing sound levels at the ear to at least 85 dB(A).
- Although hearing protection is preferred for any period of noise exposure in excess of 85 dB(A), an equivalent level of protection can be obtained, but less easily managed, by limiting the duration of noise exposure. For every 3 dB(A) increase in sound levels, the 'allowed' exposure period or duration should be reduced by 50 percent.<sup>65</sup>
- Prior to the issuance of hearing protective devices as the final control mechanism, use of acoustic insulating materials, isolation of the noise source, and other engineering controls should be investigated and implemented, where feasible
- Periodic medical hearing checks should be performed on workers exposed to high noise levels

### *Vibration*

Exposure to hand-arm vibration from equipment such as hand and power tools, or whole-body vibrations from surfaces on which the worker stands or sits, should be controlled through choice of equipment, installation of vibration dampening pads or devices, and limiting the duration of exposure. Limits for vibration and

<sup>65</sup> The American Conference of Governmental Industrial Hygienists (ACGIH), 2006

action values, (i.e. the level of exposure at which remediation should be initiated) are provided by the ACGIH<sup>66</sup>. Exposure levels should be checked on the basis of daily exposure time and data provided by equipment manufacturers.

### Electrical

Exposed or faulty electrical devices, such as circuit breakers,

- Marking all energized electrical devices and lines with warning signs
- Locking out (de-charging and leaving open with a controlled locking device) and tagging-out (warning sign placed on the lock) devices during service or maintenance
- Checking all electrical cords, cables, and hand power tools for frayed or exposed cords and following manufacturer recommendations for maximum permitted operating voltage of the portable hand tools
- Double insulating / grounding all electrical equipment used in environments that are, or may become, wet; using equipment with ground fault interrupter (GFI) protected circuits
- Protecting power cords and extension cords against damage from traffic by shielding or suspending above traffic areas
- Appropriate labeling of service rooms housing high voltage equipment ('electrical hazard') and where entry is controlled or prohibited (see also Section 3 on Planning, Siting, and Design);
- Establishing "No Approach" zones around or under high voltage power lines in conformance with Table 2.3.2
- Rubber tired construction or other vehicles that come into direct contact with, or arcing between, high voltage wires may need to be taken out of service for periods of 48 hours and have the tires replaced to prevent catastrophic tire and wheel assembly failure, potentially causing serious injury or death;
- Conducting detailed identification and marking of all buried electrical wiring prior to any excavation work

Location /activity	Equivalent level LAeq,8h	Maximum LAmax,fast
Heavy Industry (no demand for oral communication)	85 dB(A)	110 dB(A)
Light industry (decreasing demand for oral communication)	50-65 dB(A)	110 dB(A)
Open offices, control rooms, service counters or similar	45-50 dB(A)	-
Individual offices (no disturbing noise)	40-45 dB(A)	-
Classrooms, lecture halls	35-40 dB(A)	-
Hospitals	30-35 dB(A)	40 dB(A)

panels, cables, cords and hand tools, can pose a serious risk to workers. Overhead wires can be struck by metal devices, such as poles or ladders, and by vehicles with metal booms. Vehicles or grounded metal objects brought into close proximity with overhead wires can result in arcing between the wires and the object, without actual contact. Recommended actions include:

<sup>66</sup> ACGIH, 2005

Table 2.3.2. No Approach Zones for High Voltage Power Lines	
Nominal phase-to-phase voltage rating	Minimum distance
750 or more volts, but no more than 150,000 volts	3 meters
More than 150,000 volts, but no more than 250,000 volts	4.5 meters
More than 250,000 volts	6 meters

### Eye Hazards

Solid particles from a wide variety of industrial operations, and / or a liquid chemical spray may strike a worker in the eye causing an eye injury or permanent blindness. Recommended measures include:

- Use of machine guards or splash shields and/or face and eye protection devices, such as safety glasses with side shields, goggles, and/or a full face shield. Specific Safe Operating Procedures (SOPs) may be required for use of sanding and grinding tools and/or when working around liquid chemicals. Frequent checks of these types of equipment prior to use to ensure mechanical integrity is also good practice. Machine and equipment guarding should conform to standards published by organizations such as CSA, ANSI and ISO (see also Section 2.3 on Rotating and Moving Equipment and 2.7 on Personal Protective Equipment).
- Moving areas where the discharge of solid fragments, liquid, or gaseous emissions can reasonably be predicted (e.g. discharge of sparks from a metal cutting station, pressure relief valve discharge) away from places expected to be occupied or transited by workers or visitors. Where machine or work fragments could present a hazard to transient workers or passers-by, extra area guarding or proximity restricting systems should be implemented, or PPE required for transients and visitors.

- Provisions should be made for persons who have to wear prescription glasses either through the use overglasses or prescription hardened glasses.

### Welding / Hot Work

Welding creates an extremely bright and intense light that may seriously injure a worker's eyesight. In extreme cases, blindness may result. Additionally, welding may produce noxious fumes to which prolonged exposure can cause serious chronic diseases. Recommended measures include:

- Provision of proper eye protection such as welder goggles and/or a full-face eye shield for all personnel involved in, or assisting, welding operations. Additional methods may include the use of welding barrier screens around the specific work station (a solid piece of light metal, canvas, or plywood designed to block welding light from others). Devices to extract and remove noxious fumes at the source may also be required.
- Special hot work and fire prevention precautions and Standard Operating Procedures (SOPs) should be implemented if welding or hot cutting is undertaken outside established welding work stations, including 'Hot Work Permits, stand-by fire extinguishers, stand-by fire watch, and maintaining the fire watch for up to one hour after welding or hot cutting has terminated. Special procedures are required for hotwork on tanks or vessels that have contained flammable materials.

### Industrial Vehicle Driving and Site Traffic

Poorly trained or inexperienced industrial vehicle drivers have increased risk of accident with other vehicles, pedestrians, and equipment. Industrial vehicles and delivery vehicles, as well as private vehicles on-site, also represent potential collision scenarios. Industrial vehicle driving and site traffic safety practices include:

- Training and licensing industrial vehicle operators in the safe operation of specialized vehicles such as forklifts, including safe loading/unloading, load limits
- Ensuring drivers undergo medical surveillance
- Ensuring moving equipment with restricted rear visibility is outfitted with audible back-up alarms
- Establishing rights-of-way, site speed limits, vehicle inspection requirements, operating rules and procedures (e.g. prohibiting operation of forklifts with forks in down position), and control of traffic patterns or direction
- Restricting the circulation of delivery and private vehicles to defined routes and areas, giving preference to 'one-way' circulation, where appropriate

### *Working Environment Temperature*

Exposure to hot or cold working conditions in indoor or outdoor environments can result temperature stress-related injury or death. Use of personal protective equipment (PPE) to protect against other occupational hazards can accentuate and aggravate heat-related illnesses. Extreme temperatures in permanent work environments should be avoided through implementation of engineering controls and ventilation. Where this is not possible, such as during short-term outdoor work, temperature-related stress management procedures should be implemented which include:

- Monitoring weather forecasts for outdoor work to provide advance warning of extreme weather and scheduling work accordingly
- Adjustment of work and rest periods according to temperature stress management procedures provided by ACGIH<sup>67</sup>, depending on the temperature and workloads
- Providing temporary shelters to protect against the elements during working activities or for use as rest areas

- Use of protective clothing
- Providing easy access to adequate hydration such as drinking water or electrolyte drinks, and avoiding consumption of alcoholic beverages

### *Ergonomics, Repetitive Motion, Manual Handling*

Injuries due to ergonomic factors, such as repetitive motion, over-exertion, and manual handling, take prolonged and repeated exposures to develop, and typically require periods of weeks to months for recovery. These OHS problems should be minimized or eliminated to maintain a productive workplace. Controls may include:

- Facility and workstation design with 5th to 95th percentile operational and maintenance workers in mind
- Use of mechanical assists to eliminate or reduce exertions required to lift materials, hold tools and work objects, and requiring multi-person lifts if weights exceed thresholds
- Selecting and designing tools that reduce force requirements and holding times, and improve postures
- Providing user adjustable work stations
- Incorporating rest and stretch breaks into work processes, and conducting job rotation
- Implementing quality control and maintenance programs that reduce unnecessary forces and exertions
- Taking into consideration additional special conditions such as left handed persons

### *Working at Heights*

Fall prevention and protection measures should be implemented whenever a worker is exposed to the hazard of falling more than two meters; into operating machinery; into water or other liquid; into hazardous substances; or through an opening in a work surface. Fall prevention / protection measures may also be warranted on a case-specific basis when there are risks of falling from lesser heights. Fall prevention may include:

<sup>67</sup> ACGIH, 2005

- Installation of guardrails with mid-rails and toe boards at the edge of any fall hazard area
- Proper use of ladders and scaffolds by trained employees
- Use of fall prevention devices, including safety belt and lanyard travel limiting devices to prevent access to fall hazard area, or fall protection devices such as full body harnesses used in conjunction with shock absorbing lanyards or self-retracting inertial fall arrest devices attached to fixed anchor point or horizontal life-lines
- Appropriate training in use, serviceability, and integrity of the necessary PPE
- Inclusion of rescue and/or recovery plans, and equipment to respond to workers after an arrested fall

### *Illumination*

Work area light intensity should be adequate for the general purpose of the location and type of activity, and should be

Table 2.3.3. Minimum Limits For Workplace Illumination Intensity	
Location / Activity	Light Intensity
Emergency light	10 lux
Outdoor non working areas	20 lux
Simple orientation and temporary visits (machine storage, garage, warehouse)	50 lux
Workspace with occasional visual tasks only (corridors, stairways, lobby, elevator, auditorium, etc.)	100 lux
Medium precision work (simple assembly, rough machine works, welding, packing, etc.)	200 lux
Precision work (reading, moderately difficult assembly, sorting, checking, medium bench and machine works, etc.), offices.	500 lux
High precision work (difficult assembly, sewing, color inspection, fine sorting etc.)	1,000 – 3,000 lux

supplemented with dedicated work station illumination, as needed.

The minimum limits for illumination intensity for a range of locations/activities appear in Table 2.3.3.

Controls should include:

- Use of energy efficient light sources with minimum heat emission
- Undertaking measures to eliminate glare / reflections and flickering of lights
- Taking precautions to minimize and control optical radiation including direct sunlight. Exposure to high intensity UV and IR radiation and high intensity visible light should also be controlled
- Controlling laser hazards in accordance with equipment specifications, certifications, and recognized safety standards. The lowest feasible class Laser should be applied to minimize risks.

## 2.4 Chemical Hazards

Chemical hazards represent potential for illness or injury due to single acute exposure or chronic repetitive exposure to toxic, corrosive, sensitizing or oxidative substances. They also represent a risk of uncontrolled reaction, including the risk of fire and explosion, if incompatible chemicals are inadvertently mixed. Chemical hazards can most effectively be prevented through a hierarchical approach that includes:

- Replacement of the hazardous substance with a less hazardous substitute
- Implementation of engineering and administrative control measures to avoid or minimize the release of hazardous substances into the work environment keeping the level of exposure below internationally established or recognized limits
- Keeping the number of employees exposed, or likely to become exposed, to a minimum

- Communicating chemical hazards to workers through labeling and marking according to national and internationally recognized requirements and standards, including the International Chemical Safety Cards (ICSC), Materials Safety Data Sheets (MSDS), or equivalent. Any means of written communication should be in an easily understood language and be readily available to exposed workers and first-aid personnel
- Training workers in the use of the available information (such as MSDSs), safe work practices, and appropriate use of PPE

### *Air Quality*

Poor air quality due to the release of contaminants into the work place can result in possible respiratory irritation, discomfort, or illness to workers. Employers should take appropriate measures to maintain air quality in the work area. These include:

- Maintaining levels of contaminant dusts, vapors and gases in the work environment at concentrations below those recommended by the ACGIH<sup>68</sup> as TWA-TLV's (threshold limit value)—concentrations to which most workers can be exposed repeatedly (8 hours/day, 40 hrs/week, week-after-week), without sustaining adverse health effects.
- Developing and implementing work practices to minimize release of contaminants into the work environment including:
  - Direct piping of liquid and gaseous materials
  - Minimized handling of dry powdered materials;
  - Enclosed operations
  - Local exhaust ventilation at emission / release points
  - Vacuum transfer of dry material rather than mechanical or pneumatic conveyance
  - Indoor secure storage, and sealed containers rather than loose storage

- Where ambient air contains several materials that have similar effects on the same body organs (additive effects), taking into account combined exposures using calculations recommended by the ACGIH<sup>69</sup>
- Where work shifts extend beyond eight (8) hours, calculating adjusted workplace exposure criteria recommended by the ACGIH<sup>70</sup>

### *Fire and Explosions*

Fires and or explosions resulting from ignition of flammable materials or gases can lead to loss of property as well as possible injury or fatalities to project workers. Prevention and control strategies include:

- Storing flammables away from ignition sources and oxidizing materials. Further, flammables storage area should be:
  - Remote from entry and exit points into buildings
  - Away from facility ventilation intakes or vents
  - Have natural or passive floor and ceiling level ventilation and explosion venting
  - Use spark-proof fixtures
  - Be equipped with fire extinguishing devices and self-closing doors, and constructed of materials made to withstand flame impingement for a moderate period of time
- Providing bonding and grounding of, and between, containers and additional mechanical floor level ventilation if materials are being, or could be, dispensed in the storage area
- Where the flammable material is mainly comprised of dust, providing electrical grounding, spark detection, and, if needed, quenching systems

<sup>68</sup> ACGIH, 2005

<sup>69</sup> ACGIH, 2005.

<sup>70</sup> ACGIH, 2005.

- Defining and labeling fire hazards areas to warn of special rules (e.g. prohibition in use of smoking materials, cellular phones, or other potential spark generating equipment)
- Providing specific worker training in handling of flammable materials, and in fire prevention or suppression

### *Corrosive, oxidizing, and reactive chemicals*

Corrosive, oxidizing, and reactive chemicals present similar hazards and require similar control measures as flammable materials. However, the added hazard of these chemicals is that inadvertent mixing or intermixing may cause serious adverse reactions. This can lead to the release of flammable or toxic materials and gases, and may lead directly to fires and explosions. These types of substances have the additional hazard of causing significant personal injury upon direct contact, regardless of any intermixing issues. The following controls should be observed in the work environment when handling such chemicals:

- Corrosive, oxidizing and reactive chemicals should be segregated from flammable materials and from other chemicals of incompatible class (acids vs. bases, oxidizers vs. reducers, water sensitive vs. water based, etc.), stored in ventilated areas and in containers with appropriate secondary containment to minimize intermixing during spills
- Workers who are required to handle corrosive, oxidizing, or reactive chemicals should be provided with specialized training and provided with, and wear, appropriate PPE (gloves, apron, splash suits, face shield or goggles, etc).
- Where corrosive, oxidizing, or reactive chemicals are used, handled, or stored, qualified first-aid should be ensured at all times. Appropriately equipped first-aid stations should be easily accessible throughout the place of work, and eye-wash stations and/or emergency showers should be provided close to all workstations where the recommended first-aid response is immediate flushing with water

### *Asbestos Containing Materials (ACM)*

The use of asbestos containing materials (ACM) should be avoided in new buildings or as a new material in remodeling or renovation activities. Existing facilities with ACM should develop an asbestos management plan which clearly identifies the locations where the ACM is present, its condition (e.g. whether it is in friable form with the potential to release fibers), procedures for monitoring its condition, procedures to access the locations where ACM is present to avoid damage, and training of staff who can potentially come into contact with the material to avoid damage and prevent exposure. The plan should be made available to all persons involved in operations and maintenance activities. Repair or removal and disposal of existing ACM in buildings should only be performed by specially trained personnel<sup>71</sup> following host country requirements, or in their absence, internationally recognized procedures.<sup>72</sup>

## 2.5 Biological Hazards

Biological agents represent potential for illness or injury due to single acute exposure or chronic repetitive exposure. Biological hazards can be prevented most effectively by implementing the following measures:

- If the nature of the activity permits, use of any harmful biological agents should be avoided and replaced with an agent that, under normal conditions of use, is not dangerous or less dangerous to workers. If use of harmful agents can not be avoided, precautions should be taken to keep the risk of exposure as low as possible and maintained below internationally established and recognized exposure limits.

<sup>71</sup> Training of specialized personnel and the maintenance and removal methods applied should be equivalent to those required under applicable regulations in the United States and Europe (examples of North American training standards are available at: <http://www.osha.gov/SLTC/asbestos/training.html>)

<sup>72</sup> Examples include the American Society for Testing and Materials (ASTM) E 1368 - Standard Practice for Visual Inspection of Asbestos Abatement Projects; E 2356 - Standard Practice for Comprehensive Building Asbestos Surveys; and E 2394 - Standard Practice for Maintenance, Renovation and Repair of Installed Asbestos Cement Products.

- Work processes, engineering, and administrative controls should be designed, maintained, and operated to avoid or minimize release of biological agents into the working environment. The number of employees exposed or likely to become exposed should be kept at a minimum.
- The employer should review and assess known and suspected presence of biological agents at the place of work and implement appropriate safety measures, monitoring, training, and training verification programs.
- Measures to eliminate and control hazards from known and suspected biological agents at the place of work should be designed, implemented and maintained in close co-operation with the local health authorities and according to recognized international standards.

Biological agents should be classified into four groups<sup>73</sup>:

- **Group 1:** Biological agents unlikely to cause human disease, and consequently only require controls similar to those required for hazardous or reactive chemical substances;
- **Group 2:** Biological agents that can cause human disease and are thereby likely to require additional controls, but are unlikely to spread to the community;
- **Group 3:** Biological agents that can cause severe human disease, present a serious hazard to workers, and may present a risk of spreading to the community, for which there usually is effective prophylaxis or treatment available and are thereby likely to require extensive additional controls;
- **Group 4:** Biological agents that can cause severe human disease, are a serious hazard to workers, and present a high risk of spreading to the community, for which there is usually no effective prophylaxis or treatment available and are thereby likely to require very extensive additional controls.

The employer should at all times encourage and enforce the highest level of hygiene and personal protection, especially for activities employing biological agents of Groups 3 and 4 above. Work involving agents in Groups 3 and 4 should be restricted only to those persons who have received specific verifiable training in working with and controlling such materials.

Areas used for the handling of Groups 3 and 4 biological agents should be designed to enable their full segregation and isolation in emergency circumstances, include independent ventilation systems, and be subject to SOPs requiring routine disinfection and sterilization of the work surfaces.

HVAC systems serving areas handling Groups 3 and 4 biological agents should be equipped with High Efficiency Particulate Air (HEPA) filtration systems. Equipment should readily enable their disinfection and sterilization, and maintained and operated so as to prevent growth and spreading of disease agents, amplification of the biological agents, or breeding of vectors e.g. mosquitoes and flies of public health concern.

<sup>73</sup> World Health Organization (WHO) Classification of Infective Microorganisms by Risk Group (2004).

## 2.6 Radiological Hazards

Radiation exposure can lead to potential discomfort, injury or serious illness to workers. Prevention and control strategies include:

- Places of work involving occupational and/or natural exposure to ionizing radiation should be established and operated in accordance with recognized international safety standards and guidelines.<sup>74</sup> The acceptable effective dose limits appear Table 2.6.1.
- Exposure to non-ionizing radiation (including static magnetic fields; sub-radio frequency magnetic fields; static electric fields; radio frequency and microwave radiation; light and near-infrared radiation; and ultraviolet radiation) should be controlled to internationally recommended limits<sup>75</sup>.

**Table 2.6.1. Acceptable Effective Dose Limits for Workplace Radiological Hazards**

Exposure	Workers (min. 19 years of age)	Apprentices and students (16-18 years of age)
	Five consecutive year average – effective dose	20 mSv/year
Single year exposure – effective dose	50 mSv/year	6 mSv/year
Equivalent dose to the lens of the eye	150 mSv/year	50 mSv/year
Equivalent dose to the extremities (hands, feet) or the skin	500 mSv/year	150 mSv/year

<sup>74</sup> International Basic Safety Standard for protection against Ionizing Radiation and for the Safety of Radiation Sources and its three interrelated Safety Guides.

IAEA. <http://www-ns.iaea.org/standards/documents/default.asp?sub=160>

<sup>75</sup> For example ACGIH (2005) and International Commission for Non-Ionizing Radiation (ICNIRP).

- In the case of both ionizing and non-ionizing radiation, the preferred method for controlling exposure is shielding and limiting the radiation source. Personal protective equipment is supplemental only or for emergency use. Personal protective equipment for near-infrared, visible and ultraviolet range radiation can include appropriate sun block creams, with or without appropriate screening clothing.

## 2.7 Personal Protective Equipment (PPE)

Personal Protective Equipment (PPE) provides additional protection to workers exposed to workplace hazards in conjunction with other facility controls and safety systems.

PPE is considered to be a last resort that is above and beyond the other facility controls and provides the worker with an extra level of personal protection. Table 2.7.1 presents general examples of occupational hazards and types of PPE available for different purposes. Recommended measures for use of PPE in the workplace include:

- Active use of PPE if alternative technologies, work plans or procedures cannot eliminate, or sufficiently reduce, a hazard or exposure
- Identification and provision of appropriate PPE that offers adequate protection to the worker, co-workers, and occasional visitors, without incurring unnecessary inconvenience to the individual
- Proper maintenance of PPE, including cleaning when dirty and replacement when damaged or worn out. Proper use of PPE should be part of the recurrent training programs for employees

- Selection of PPE should be based on the hazard and risk ranking described earlier in this section, and selected according to criteria on performance and testing established

by recognized organizations<sup>76</sup>.

## 2.8 Special Hazard Environments

Special hazard environments are work situations where all of the previously described hazards may exist under unique or especially hazardous circumstances. Accordingly, extra precautions or rigor in application of precautions is required.

### *Confined Space*

A confined space is defined as a wholly or partially enclosed space not designed or intended for human occupancy and in which a hazardous atmosphere could develop as a result of the contents, location or construction of the confined space or due to work done in or around the confined space. A “permit-required” confined space is one that also contains physical or atmospheric hazards that could trap or engulf the person.<sup>77</sup>

Confined spaces can occur in enclosed or open structures or locations. Serious injury or fatality can result from inadequate preparation to enter a confined space or in attempting a rescue from a confined space. Recommended management approaches include:

- Engineering measures should be implemented to eliminate, to the degree feasible, the existence and adverse character of confined spaces.
- Permit-required confined spaces should be provided with permanent safety measures for venting, monitoring, and rescue operations, to the extent possible. The area adjoining an access to a confined space should provide ample room for emergency and rescue operations.

Table 2.7.1. Summary of Recommended Personal Protective Equipment According to Hazard		
Objective	Workplace Hazards	Suggested PPE
Eye and face protection	Flying particles, molten metal, liquid chemicals, gases or vapors, light radiation.	Safety Glasses with side-shields, protective shades, etc.
Head protection	Falling objects, inadequate height clearance, and overhead power cords.	Plastic Helmets with top and side impact protection.
Hearing protection	Noise, ultra-sound.	Hearing protectors (ear plugs or ear muffs).
Foot protection	Falling or rolling objects, pointed objects. Corrosive or hot liquids.	Safety shoes and boots for protection against moving & falling objects, liquids and chemicals.
Hand protection	Hazardous materials, cuts or lacerations, vibrations, extreme temperatures.	Gloves made of rubber or synthetic materials (Neoprene), leather, steel, insulating materials, etc.
	Dust, fogs, fumes, mists, gases, smokes, vapors.	Facemasks with appropriate filters for dust removal and air purification (chemicals, mists, vapors and gases). Single or multi-gas personal monitors, if available.
Respiratory protection	Oxygen deficiency	Portable or supplied air (fixed lines). On-site rescue equipment.
	Extreme temperatures, hazardous materials, biological agents, cutting and laceration.	Insulating clothing, body suits, aprons etc. of appropriate materials.

<sup>76</sup> Examples include the American National Standards Institute (ANSI), <http://www.ansi.org/>; National Institute for Occupational Safety and Health<sup>76</sup> (NIOSH), <http://www.cdc.gov/niosh/homepage.html>; Canadian Standards Association<sup>76</sup> (CSA), <http://www.csa.ca/Default.asp?language=english>; Mine Safety and Health Administration<sup>76</sup> (MSHA), <http://www.msha.gov>.

<sup>77</sup> US OSHA CFR 1910.146

- Access hatches should accommodate 90% of the worker population with adjustments for tools and protective clothing. The most current ISO and EN standards should be consulted for design specifications;
- Prior to entry into a permit-required confined space:
  - Process or feed lines into the space should be disconnected or drained, and blanked and locked-out.
  - Mechanical equipment in the space should be disconnected, de-energized, locked-out, and braced, as appropriate.
  - The atmosphere within the confined space should be tested to assure the oxygen content is between 19.5 percent and 23 percent, and that the presence of any flammable gas or vapor does not exceed 25 percent of its respective Lower Explosive Limit (LEL).
  - If the atmospheric conditions are not met, the confined space should be ventilated until the target safe atmosphere is achieved, or entry is only to be undertaken with appropriate and additional PPE.
- Safety precautions should include Self Contained Breathing Apparatus (SCBA), life lines, and safety watch workers stationed outside the confined space, with rescue and first aid equipment readily available.
- Before workers are required to enter a permit-required confined space, adequate and appropriate training in confined space hazard control, atmospheric testing, use of the necessary PPE, as well as the serviceability and integrity of the PPE should be verified. Further, adequate and appropriate rescue and / or recovery plans and equipment should be in place before the worker enters the confined space.

### Lone and Isolated Workers

A lone and isolated worker is a worker out of verbal and line of sight communication with a supervisor, other workers, or other

persons capable of providing aid and assistance, for continuous periods exceeding one hour. The worker is therefore at increased risk should an accident or injury occur.

- Where workers may be required to perform work under lone or isolated circumstances, Standard Operating Procedures (SOPs) should be developed and implemented to ensure all PPE and safety measures are in place before the worker starts work. SOPs should establish, at a minimum, verbal contact with the worker at least once every hour, and ensure the worker has a capability for summoning emergency aid.
- If the worker is potentially exposed to highly toxic or corrosive chemicals, emergency eye-wash and shower facilities should be equipped with audible and visible alarms to summon aid whenever the eye-wash or shower is activated by the worker and without intervention by the worker.

## 2.9 Monitoring

Occupational health and safety monitoring programs should verify the effectiveness of prevention and control strategies. The selected indicators should be representative of the most significant occupational, health, and safety hazards, and the implementation of prevention and control strategies. The occupational health and safety monitoring program should include:

- *Safety inspection, testing and calibration:* This should include regular inspection and testing of all safety features and hazard control measures focusing on engineering and personal protective features, work procedures, places of work, installations, equipment, and tools used. The inspection should verify that issued PPE continues to provide adequate protection and is being worn as required. All instruments installed or used for monitoring and recording of working environment parameters should be regularly tested and calibrated, and the respective records maintained.
- *Surveillance of the working environment:* Employers should document compliance using an appropriate combination of

portable and stationary sampling and monitoring instruments.

Monitoring and analyses should be conducted according to internationally recognized methods and standards.

Monitoring methodology, locations, frequencies, and parameters should be established individually for each project following a review of the hazards. Generally, monitoring should be performed during commissioning of facilities or equipment and at the end of the defect and liability period, and otherwise repeated according to the monitoring plan.

- *Surveillance of workers health:* When extraordinary protective measures are required (for example, against biological agents Groups 3 and 4, and/or hazardous compounds), workers should be provided appropriate and relevant health surveillance prior to first exposure, and at regular intervals thereafter. The surveillance should, if deemed necessary, be continued after termination of the employment.
- *Training:* Training activities for employees and visitors should be adequately monitored and documented (curriculum, duration, and participants). Emergency exercises, including fire drills, should be documented adequately. Service providers and contractors should be contractually required to submit to the employer adequate training documentation before start of their assignment.

### *Accidents and Diseases monitoring*

- The employer should establish procedures and systems for reporting and recording:
  - Occupational accidents and diseases
  - Dangerous occurrences and incidents

These systems should enable workers to report immediately to their immediate supervisor any situation they believe presents a serious danger to life or health.

- The systems and the employer should further enable and encourage workers to report to management all:
  - Occupational injuries and near misses
  - Suspected cases of occupational disease
  - Dangerous occurrences and incidents
- All reported occupational accidents, occupational diseases, dangerous occurrences, and incidents together with near misses should be investigated with the assistance of a person knowledgeable/competent in occupational safety. The investigation should:
  - Establish what happened
  - Determine the cause of what happened
  - Identify measures necessary to prevent a recurrence
- Occupational accidents and diseases should, at a minimum, be classified according to Table 2.10.1. Distinction is made between fatal and non-fatal injuries. The two main categories are divided into three sub-categories according to time of death or duration of the incapacity to work. The total work hours during the specified reporting period should be reported to the appropriate regulatory agency.

<b>Table 2.9.1. Occupational Accident Reporting</b>		
<b>a. Fatalities (number)</b>	<b>b. Non-fatal injuries (number)<sup>78</sup></b>	<b>c. Total time lost non-fatal injuries (days)</b>
<b>a.1</b> Immediate	<b>b.1</b> Less than one day	
<b>a.2</b> Within a month	<b>b.2</b> Up to 3 days	<b>c.1</b> Category b.2
<b>a.3</b> Within a year	<b>b.3</b> More than 3 days	<b>c.2</b> Category b.3

<sup>78</sup> The day on which an incident occurs is not included in b.2 and b.3.

## 3.0 Community Health and Safety

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This section complements the guidance provided in the preceding environmental and occupational health and safety sections, specifically addressing some aspects of project activities taking place outside of the traditional project boundaries, but nonetheless related to the project operations, as may be applicable on a project basis. These issues may arise at any stage of a project life cycle and can have an impact beyond the life of the project.

### 3.1 Water Quality and Availability

Groundwater and surface water represent essential sources of drinking and irrigation water in developing countries, particularly in rural areas where piped water supply may be limited or unavailable and where available resources are collected by the consumer with little or no treatment. Project activities involving wastewater discharges, water extraction, diversion or

impoundment should prevent adverse impacts to the quality and availability of groundwater and surface water resources.

### Water Quality

Drinking water sources, whether public or private, should at all times be protected so that they meet or exceed applicable national acceptability standards or in their absence the current edition of WHO Guidelines for Drinking-Water Quality. Air emissions, wastewater effluents, oil and hazardous materials, and wastes should be managed according to the guidance provided in the respective sections of the General EHS Guidelines with the objective of protecting soil and water resources.

Where the project includes the delivery of water to the community or to users of facility infrastructure (such as hotel hosts and hospital patients), where water may be used for drinking, cooking, washing, and bathing, water quality should comply with national acceptability standards or in their absence the current edition of WHO Drinking Water Guidelines. Water quality for more sensitive well-being-related demands such as water used in health care facilities or food production may require more stringent, industry-specific guidelines or standards, as applicable. Any dependency factors associated with the deliver of water to the local community should be planned for and managed to ensure the sustainability of the water supply by involving the community in its management to minimize the dependency in the long-term.

### Water Availability

The potential effect of groundwater or surface water abstraction for project activities should be properly assessed through a combination of field testing and modeling techniques, accounting for seasonal variability and projected changes in demand in the project area.

Project activities should not compromise the availability of water for personal hygiene needs and should take account of potential future increases in demand. The overall target should be the availability of 100 liters per person per day although lower levels may be used to meet basic health requirements.<sup>79</sup> Water volume requirements for well-being-related demands such as water use in health care facilities may need to be higher.

## 3.2 Structural Safety of Project Infrastructure

Hazards posed to the public while accessing project facilities may include:

- Physical trauma associated with failure of building structures
- Burns and smoke inhalation from fires
- Injuries suffered as a consequence of falls or contact with heavy equipment
- Respiratory distress from dust, fumes, or noxious odors
- Exposure to hazardous materials

Reduction of potential hazards is best accomplished during the design phase when the structural design, layout and site modifications can be adapted more easily. The following issues should be considered and incorporated as appropriate into the planning, siting, and design phases of a project:

- Inclusion of buffer strips or other methods of physical separation around project sites to protect the public from major hazards associated with hazardous materials incidents or process failure, as well as nuisance issues related to noise, odors, or other emissions
- Incorporation of siting and safety engineering criteria to prevent failures due to natural risks posed by earthquakes, tsunamis, wind, flooding, landslides and fire. To this end, all

project structures should be designed in accordance with engineering and design criteria mandated by site-specific risks, including but not limited to seismic activity, slope stability, wind loading, and other dynamic loads

- Application of locally regulated or internationally recognized building codes<sup>80</sup> to ensure structures are designed and constructed in accordance with sound architectural and engineering practice, including aspects of fire prevention and response
- Engineers and architects responsible for designing and constructing facilities, building, plants and other structures should certify the applicability and appropriateness of the structural criteria employed.

International codes, such as those compiled by the International Code Council (ICC)<sup>81</sup>, are intended to regulate the design, construction, and maintenance of a built environment and contain detailed guidance on all aspects of building safety, encompassing methodology, best practices, and documenting compliance. Depending on the nature of a project, guidance provided in the ICC or comparable codes should be followed, as appropriate, with respect to:

- Existing structures
- Soils and foundations
- Site grading
- Structural design
- Specific requirements based on intended use and occupancy
- Accessibility and means of egress
- Types of construction
- Roof design and construction
- Fire-resistant construction
- Flood-resistant construction

<sup>79</sup> World Health Organization (WHO) defines 100 liters/capita/day as the amount required to meet all consumption and hygiene needs. Additional information on lower service levels and potential impacts on health are described in "Domestic Water Quantity, Service Level and Health" 2003. [http://www.who.int/water\\_sanitation\\_health/diseases/wsh0302/en/index.html](http://www.who.int/water_sanitation_health/diseases/wsh0302/en/index.html)

<sup>80</sup> ILO-OSH, 2001. <http://www.ilo.org/public/english/protection/safework/cops/english/download/e000013.pdf>

<sup>81</sup> ICC, 2006.

- Construction materials
- Interior environment
- Mechanical, plumbing and electrical systems
- Elevators and conveying systems
- Fire safety systems
- Safeguards during construction
- Encroachments into public right-of-way

Although major design changes may not be feasible during the operation phase of a project, hazard analysis can be undertaken to identify opportunities to reduce the consequences of a failure or accident. Illustrative management actions, applicable to hazardous materials storage and use, include:

- Reducing inventories of hazardous materials through inventory management and process changes to greatly reduce or eliminate the potential off-site consequences of a release
- Modifying process or storage conditions to reduce the potential consequences of an accidental off-site release
- Improving shut-down and secondary containment to reduce the amount of material escaping from containment and to reduce the release duration
- Reducing the probability that releases will occur through improved site operations and control, and through improvements in maintenance and inspection
- Reducing off-site impacts of releases through measures intended to contain explosions and fires, alert the public, provide for evacuation of surrounding areas, establish safety zones around a site, and ensure the provision of emergency medical services to the public

### 3.3 Life and Fire Safety (L&FS)

#### Applicability and Approach

All new buildings accessible to the public should be designed, constructed, and operated in full compliance with local building

codes, local fire department regulations, local legal/insurance requirements, and in accordance with an internationally accepted life and fire safety (L&FS) standard. The Life Safety Code<sup>82</sup>, which provides extensive documentation on life and fire safety provisions, is one example of an internationally accepted standard and may be used to document compliance with the Life and Fire Safety objectives outlined in these guidelines. With regard to these objectives:

- Project sponsors' architects and professional consulting engineers should demonstrate that affected buildings meet these life and fire safety objectives.
- Life and fire safety systems and equipment should be designed and installed using appropriate prescriptive standards and/or performance based design, and sound engineering practices.
- Life and fire safety design criteria for all existing buildings should incorporate all local building codes and fire department regulations.

These guidelines apply to buildings that are accessible to the public. Examples of such buildings include:

- Health and education facilities
- Hotels, convention centers, and leisure facilities
- Retail and commercial facilities
- Airports, other public transport terminals, transfer facilities

#### Specific Requirements for New Buildings

The nature and extent of life and fire safety systems required will depend on the building type, structure, construction, occupancy, and exposures. Sponsors should prepare a Life and Fire Safety Master Plan identifying major fire risks, applicable codes, standards and regulations, and mitigation measures. The Master

<sup>82</sup> US NFPA.  
<http://www.nfpa.org/catalog/product.asp?category%5Fname=&pid=10106&target%5Fpid=10106&src%5Fpid=&link%5Ftype=search>

Plan should be prepared by a suitably qualified professional, and adequately cover, but not be limited to, the issues addressed briefly in the following points. The suitably qualified professional selected to prepare the Master Plan is responsible for a detailed treatment of the following illustrative, and all other required, issues.

### *Fire Prevention*

Fire prevention addresses the identification of fire risks and ignition sources, and measures needed to limit fast fire and smoke development. These issues include:

- Fuel load and control of combustibles
- Ignition sources
- Interior finish flame spread characteristics
- Interior finish smoke production characteristics
- Human acts, and housekeeping and maintenance

### *Means of Egress*

Means of Egress includes all design measures that facilitate a safe evacuation by residents and/or occupants in case of fire or other emergency, such as:

- Clear, unimpeded escape routes
- Accessibility to the impaired/handicapped
- Marking and signing
- Emergency lighting

### *Detection and Alarm Systems*

These systems encompass all measures, including communication and public address systems needed to detect a fire and alert:

- Building staff
- Emergency response teams
- Occupants
- Civil defense

### *Compartmentation*

Compartmentation involves all measures to prevent or slow the spread of fire and smoke, including:

- Separations
- Fire walls
- Floors
- Doors
- Dampers
- Smoke control systems

### *Fire Suppression and Control*

Fire suppression and control includes all automatic and manual fire protection installations, such as:

- Automatic sprinkler systems
- Manual portable extinguishers
- Fire hose reels

### *Emergency Response Plan*

An Emergency Response Plan is a set of scenario-based procedures to assist staff and emergency response teams during real life emergency and training exercises. This chapter of the Fire and Life Safety Master Plan should include an assessment of local fire prevention and suppression capabilities.

### *Operation and Maintenance*

Operation and Maintenance involves preparing schedules for mandatory regular maintenance and testing of life and fire safety features to ensure that mechanical, electrical, and civil structures and systems are at all times in conformance with life and fire safety design criteria and required operational readiness.

### *L&FS Master Plan Review and Approval*

- A suitably qualified professional prepares and submits a Life and Fire Safety (L&FS) Master Plan, including preliminary drawings and specifications, and certifies that the design

meets the requirements of these L&FS guidelines. The findings and recommendations of the review are then used to establish the conditions of a Corrective Action Plan and a time frame for implementing the changes.

- The suitably qualified professional conducts a review as part of the project completion test at the time of life and fire safety systems testing and commissioning, and certifies that construction of these systems has been carried out in accordance with the accepted design. The findings and recommendations of the review are used as the basis for establishing project completion or to establish the conditions of a Pre-Completion Corrective Action Plan and a time frame for implementing the changes.

### Specific Requirements for Existing Buildings

- All life and fire safety guideline requirements for new buildings apply to existing buildings programmed for renovation. A suitably qualified professional conducts a complete life and fire safety review of existing buildings slated for renovation. The findings and recommendations of the review are used as the basis to establish the scope of work of a Corrective Action Plan and a time frame for implementing the changes.
- If it becomes apparent that life and fire safety conditions are deficient in an existing building that is not part of the project or that has not been programmed for renovation, a life and fire safety review of the building may be conducted by a suitably qualified professional. The findings and recommendations of the review are used as the basis to establish the scope of work of a Corrective Action Plan and a time frame for implementing the changes.

### Other Hazards

- Facilities, buildings, plants, and structures should be situated to minimize potential risks from forces of nature (e.g.

earthquakes, tsunamis, floods, windstorms, and fires from surrounding areas).

- All such structures should be designed in accordance with the criteria mandated by situation-, climatic-, and geology-specific location risks (e.g. seismic activity, wind loading, and other dynamic loads).
- Structural engineers and architects responsible for facilities, buildings, plants and structures should certify the applicability and appropriateness of the design criteria employed.
- National or regional building regulations typically contain fire safety codes and standards<sup>83</sup> or these standards are found in separate Fire Codes.<sup>84,85</sup> Generally, such codes and regulations incorporate further compliance requirements with respect to methodology, practice, testing, and other codes and standards<sup>86</sup>. Such nationally referenced material constitutes the acceptable fire life safety code.

### 3.4 Traffic Safety

Traffic accidents have become one of the most significant causes of injuries and fatalities among members of the public worldwide. Traffic safety should be promoted by all project personnel during displacement to and from the workplace, and during operation of project equipment on private or public roads. Prevention and control of traffic related injuries and fatalities should include the adoption of safety measures that are protective of project workers and of road users, including those who are most vulnerable to road traffic accidents<sup>87</sup>. Road safety initiatives proportional to the scope and nature of project activities should include:

<sup>83</sup> For example, Australia, Canada, South Africa, United Kingdom

<sup>84</sup> Réglementation Incendie [des ERP]

<sup>85</sup> USA NFPA, 2006.

<sup>86</sup> Prepared by National Institutes and Authorities such as American Society for Testing and Materials (ASTM), British Standards (BS), German Institute of Standardization (DIN), and French Standards (NF)

<sup>87</sup> Additional information on vulnerable users of public roads in developing countries is provided by Peden et al., 2004.

- Adoption of best transport safety practices across all aspects of project operations with the goal of preventing traffic accidents and minimizing injuries suffered by project personnel and the public. Measures should include:
  - Emphasizing safety aspects among drivers
  - Improving driving skills and requiring licensing of drivers
  - Adopting limits for trip duration and arranging driver rosters to avoid overtiredness
  - Avoiding dangerous routes and times of day to reduce the risk of accidents
  - Use of speed control devices (governors) on trucks, and remote monitoring of driver actions
- Regular maintenance of vehicles and use of manufacturer approved parts to minimize potentially serious accidents caused by equipment malfunction or premature failure.

Where the project may contribute to a significant increase in traffic along existing roads, or where road transport is a significant component of a project, recommended measures include:

- Minimizing pedestrian interaction with construction vehicles
- Collaboration with local communities and responsible authorities to improve signage, visibility and overall safety of roads, particularly along stretches located near schools or other locations where children may be present. Collaborating with local communities on education about traffic and pedestrian safety (e.g. school education campaigns)<sup>88</sup>
- Coordination with emergency responders to ensure that appropriate first aid is provided in the event of accidents
- Using locally sourced materials, whenever possible, to minimize transport distances. Locating associated facilities such as worker camps close to project sites and arranging worker bus transport to minimizing external traffic

<sup>88</sup> Additional sources of information for implementation of road safety measures is available at WHO, 1989, Ross et al., 1991, Tsunokawa and Hoban, 1997, and OECD, 1999

- Employing safe traffic control measures, including road signs and flag persons to warn of dangerous conditions

## 3.5 Transport of Hazardous Materials

### General Hazardous Materials Transport

- Projects should have procedures in place that ensure compliance with local laws and international requirements applicable to the transport of hazardous materials, including:
  - IATA requirements<sup>89</sup> for air transport
  - IMDG Code<sup>90</sup> sea transport
  - UN Model Regulations<sup>91</sup> of other international standards as well as local requirements for land transport
  - Host-country commitments under the Basel Convention on the Control of Transboundary Movements of Hazardous Waste and their disposal and Rotterdam Convention on the prior Inform Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, if applicable to the project activities
- The procedures for transportation of hazardous materials (Hazmats) should include:
  - Proper labeling of containers, including the identify and quantity of the contents, hazards, and shipper contact information
  - Providing a shipping document (e.g. shipping manifest) that describes the contents of the load and its associated hazards in addition to the labeling of the containers. The shipping document should establish a chain-of-custody using multiple signed copies to show that the waste was properly shipped, transported and received by the recycling or treatment/disposal facility

<sup>89</sup> IATA, 2005. [www.iata.org](http://www.iata.org)

<sup>90</sup> IMO. [www.imo.org/safety](http://www.imo.org/safety)

<sup>91</sup> United Nations. Transport of Dangerous Goods - Model Regulations. 14th Revised Edition. Geneva 2005. [http://www.unece.org/trans/danger/publi/unrec/rev14/14files\\_e.html](http://www.unece.org/trans/danger/publi/unrec/rev14/14files_e.html)

- Ensuring that the volume, nature, integrity and protection of packaging and containers used for transport are appropriate for the type and quantity of hazardous material and modes of transport involved
- Ensuring adequate transport vehicle specifications
- Training employees involved in the transportation of hazardous materials regarding proper shipping procedures and emergency procedures
- Using labeling and placarding (external signs on transport vehicles), as required
- Providing the necessary means for emergency response on call 24 hours/day

## Major Transportation Hazards

Guidance related to major transportation hazards should be implemented in addition to measures presented in the preceding section for preventing or minimizing the consequences of catastrophic releases of hazardous materials, which may result in toxic, fire, explosion, or other hazards during transportation.

In addition to these aforementioned procedures, projects which transport hazardous materials *at or above the threshold quantities*<sup>92</sup> should prepare a Hazardous Materials Transportation Plan containing all of the elements presented below<sup>93</sup>.

### Hazard Assessment

The hazard assessment should identify the potential hazard involved in the transportation of hazardous materials by reviewing:

- The hazard characteristics of the substances identified during the screening stage
- The history of accidents, both by the company and its contractors, involving hazardous materials transportation

<sup>92</sup> Threshold quantities for the transport of hazardous materials are found in the UN – Transport of Dangerous Goods – Model Regulations cited above.

<sup>93</sup> For further information and guidance, please refer to International Finance Corporation (IFC) Hazardous Materials Transportation Manual. Washington, D.C. December 2000.

- The existing criteria for the safe transportation of hazardous materials, including environmental management systems used by the company and its contractors

This review should cover the management actions, preventive measures and emergency response procedures described below. The hazard assessment helps to determine what additional measures may be required to complete the plan.

### Management Actions

- *Management of Change:* These procedures should address:
  - The technical basis for changes in hazardous materials offered for transportation, routes and/or procedures
  - The potential impact of changes on health and safety
  - Modification required to operating procedures
  - Authorization requirements
  - Employees affected
  - Training needs
- *Compliance Audit:* A compliance audit evaluates compliance with prevention requirements for each transportation route or for each hazardous material, as appropriate. A compliance audit covering each element of the prevention measures (see below) should be conducted at least every three years. The audit program should include:
  - Preparation of a report of the findings
  - Determination and documentation of the appropriate response to each finding
  - Documentation that any deficiency has been corrected.
- *Incident Investigation:* Incidents can provide valuable information about transportation hazards and the steps needed to prevent accidental releases. The implementation of incident investigation procedures should ensure that:
  - Investigations are initiated promptly
  - Summaries of investigations are included in a report
  - Report findings and recommendations are addressed

- Reports are reviewed with staff and contractors
  - *Employee Participation:* There should be a written plan of action regarding the implementation of active employee participation in the prevention of accidents.
  - *Contractors:* The plan should include procedures to ensure that:
    - The contractor is provided with safety performance procedures and safety and hazard information
    - Contractors observe safety practices
    - Verify that the contractor acts responsibly
- The plan should also include additional procedures to ensure the contractors will:
- Ensure appropriate training for their employees
  - Ensure their employees know process hazards and applicable emergency actions
  - Prepare and submit training records
  - Inform employees about the hazards presented by their work
- *Training:* Good training programs on operating procedures will provide the employees with the necessary information to understand how to operate safely and why safe operations are needed. The training program should include:
  - The list of employees to be trained
  - Specific training objectives
  - Mechanisms to achieve objectives (i.e. hands-on workshops, videos, etc.)
  - Means to determine the effectiveness of the training program
  - Training procedures for new hires and refresher programs

### *Preventive Measures*

The plan should include procedures to implement preventive measures specific to each hazardous material offered for transportation, including:

- Classification and segregation of hazardous materials in warehouses and transport units
- Packaging and packaging testing
- Marking and labeling of packages containing hazardous materials
- Handling and securing packages containing hazardous materials in transport units
- Marking and placarding of transport units
- Documentation (e.g. bills of lading)
- Application of special provisions, as appropriate

### *Emergency Preparedness and Response*

It is important to develop procedures and practices for the handling of hazardous materials that allow for quick and efficient responses to accidents that may result in injury or environmental damage. The sponsor should prepare an Emergency Preparedness and Response Plan that should cover:

- *Planning Coordination:* This should include procedures for:
  - Informing the public and emergency response agencies
  - Documenting first aid and emergency medical treatment
  - Taking emergency response actions
  - Reviewing and updating the emergency response plan to reflect changes and ensuring that the employees are informed of such changes
- *Emergency Equipment:* The plan should include procedures for using, inspecting, testing, and maintaining emergency response equipment.
- *Training:* Employees should be trained in any relevant procedures

## 3.6 Disease Prevention

### Communicable Diseases

Communicable diseases pose a significant public health threat worldwide. Health hazards typically associated with large development projects are those relating to poor sanitation and living conditions, sexual transmission and vector-borne infections. Communicable diseases of most concern during the construction phase due to labor mobility are sexually-transmitted diseases (STDs), such as HIV/AIDS. Recognizing that no single measure is likely to be effective in the long term, successful initiatives typically involve a combination of behavioral and environmental modifications.

Recommended interventions at the project level include<sup>94</sup>:

- Providing surveillance and active screening and treatment of workers
- Preventing illness among workers in local communities by:
  - Undertaking health awareness and education initiatives, for example, by implementing an information strategy to reinforce person-to-person counseling addressing systemic factors that can influence individual behavior as well as promoting individual protection, and protecting others from infection, by encouraging condom use
  - Training health workers in disease treatment
  - Conducting immunization programs for workers in local communities to improve health and guard against infection
  - Providing health services
- Providing treatment through standard case management in on-site or community health care facilities. Ensuring ready

access to medical treatment, confidentiality and appropriate care, particularly with respect to migrant workers

- Promoting collaboration with local authorities to enhance access of workers families and the community to public health services and promote immunization

### Vector-Borne Diseases

Reducing the impact of vector-borne disease on the long-term health of workers is best accomplished through implementation of diverse interventions aimed at eliminating the factors that lead to disease. Project sponsors, in close collaboration with community health authorities, can implement an integrated control strategy for mosquito and other arthropod-borne diseases that might involve:

- Prevention of larval and adult propagation through sanitary improvements and elimination of breeding habitats close to human settlements
- Elimination of unusable impounded water
- Increase in water velocity in natural and artificial channels
- Considering the application of residual insecticide to dormitory walls
- Implementation of integrated vector control programs
- Promoting use of repellents, clothing, netting, and other barriers to prevent insect bites
- Use of chemoprophylaxis drugs by non-immune workers and collaborating with public health officials to help eradicate disease reservoirs
- Monitoring and treatment of circulating and migrating populations to prevent disease reservoir spread
- Collaboration and exchange of in-kind services with other control programs in the project area to maximize beneficial effects
- Educating project personnel and area residents on risks, prevention, and available treatment
- Monitoring communities during high-risk seasons to detect and treat cases

<sup>94</sup> Additional sources of information on disease prevention include IFC, 2006; UNDP, 2000, 2003; Walley et al., 2000; Kindhauser, 2003; Heymann, 2004.

- Distributing appropriate education materials
- Following safety guidelines for the storage, transport, and distribution of pesticides to minimize the potential for misuse, spills, and accidental human exposure

### 3.7 Emergency Preparedness and Response

An emergency is an unplanned event when a project operation loses control, or could lose control, of a situation that may result in risks to human health, property, or the environment, either within the facility or in the local community. Emergencies do not normally include safe work practices for frequent upsets or events that are covered by occupational health and safety.

All projects should have an Emergency Preparedness and Response Plan that is commensurate with the risks of the facility and that includes the following basic elements:

- Administration (policy, purpose, distribution, definitions, etc)
- Organization of emergency areas (command centers, medical stations, etc)
- Roles and responsibilities
- Communication systems
- Emergency response procedures
- Emergency resources
- Training and updating
- Checklists (role and action list and equipment checklist)
- Business Continuity and Contingency

Additional information is provided for key components of the emergency plan, as follows below.

#### Communication Systems

##### *Worker notification and communication*

Alarm bells, visual alarms, or other forms of communication should be used to reliably alert workers to an emergency. Related measures include:

- Testing warning systems at least annually (fire alarms monthly), and more frequently if required by local regulations, equipment, or other considerations
- Installing a back-up system for communications on-site with off-site resources, such as fire departments, in the event that normal communication methods may be inoperable during an emergency

##### *Community Notification*

If a local community may be at risk from a potential emergency arising at the facility, the company should implement communication measures to alert the community, such as:

- Audible alarms, such as fire bells or sirens
- Fan out telephone call lists
- Vehicle mounted speakers
- Communicating details of the nature of the emergency
- Communicating protection options (evacuation, quarantine)
- Providing advise on selecting an appropriate protection option

##### *Media and Agency Relations*

Emergency information should be communicated to the media through:

- A trained, local spokesperson able to interact with relevant stakeholders, and offer guidance to the company for speaking to the media, government, and other agencies
- Written press releases with accurate information, appropriate level of detail for the emergency, and for which accuracy can be guaranteed

## Emergency Resources

### *Finance and Emergency Funds*

- A mechanism should be provided for funding emergency activities.

### *Fire Services*

- The company should consider the level of local fire fighting capacity and whether equipment is available for use at the facility in the event of a major emergency or natural disaster. If insufficient capacity is available, fire fighting capacity should be acquired that may include pumps, water supplies, trucks, and training for personnel.

### *Medical Services*

- The company should provide first aid attendants for the facility as well as medical equipment suitable for the personnel, type of operation, and the degree of treatment likely to be required prior to transportation to hospital.

### *Availability of Resources*

Appropriate measures for managing the availability of resources in case of an emergency include:

- Maintaining a list of external equipment, personnel, facilities, funding, expert knowledge, and materials that may be required to respond to emergencies. The list should include personnel with specialized expertise for spill clean-up, flood control, engineering, water treatment, environmental science, etc., or any of the functions required to adequately respond to the identified emergency
- Providing personnel who can readily call up resources, as required
- Tracking and managing the costs associated with emergency resources

- Considering the quantity, response time, capability, limitations, and cost of these resources, for both site-specific emergencies, and community or regional emergencies
- Considering if external resources are unable to provide sufficient capacity during a regional emergency and whether additional resources may need to be maintained on-site

### *Mutual Aid*

Mutual aid agreements decrease administrative confusion and provide a clear basis for response by mutual aid providers.

- Where appropriate, mutual aid agreements should be maintained with other organizations to allow for sharing of personnel and specialized equipment.

### *Contact List*

- The company should develop a list of contact information for all internal and external resources and personnel. The list should include the name, description, location, and contact details (telephone, email) for each of the resources, and be maintained annually.

## Training and Updating

The emergency preparedness facilities and emergency response plans require maintenance, review, and updating to account for changes in equipment, personnel, and facilities. Training programs and practice exercises provide for testing systems to ensure an adequate level of emergency preparedness. Programs should:

- Identify training needs based on the roles and responsibilities, capabilities and requirements of personnel in an emergency
- Develop a training plan to address needs, particularly for fire fighting, spill response, and evacuation

- Conduct annual training, at least, and perhaps more frequent training when the response includes specialized equipment, procedures, or hazards, or when otherwise mandated
- Provide training exercises to allow personnel the opportunity to test emergency preparedness, including:
  - Desk top exercises with only a few personnel, where the contact lists are tested and the facilities and communication assessed
  - Response exercises, typically involving drills that allow for testing of equipment and logistics
  - Debrief upon completion of a training exercise to assess what worked well and what aspects require improvement
  - Update the plan, as required, after each exercise. Elements of the plan subject to significant change (such as contact lists) should be replaced
  - Record training activities and the outcomes of the training

## Business Continuity and Contingency

Measures to address business continuity and contingency include:

- Identifying replacement supplies or facilities to allow business continuity following an emergency. For example, alternate sources of water, electricity, and fuel are commonly sought.
- Using redundant or duplicate supply systems as part of facility operations to increase the likelihood of business continuity.
- Maintaining back-ups of critical information in a secure location to expedite the return to normal operations following an emergency.

## 4.0 Construction and Decommissioning

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### Applicability and Approach

This section provides additional, specific guidance on prevention and control of community health and safety impacts that may occur during new project development, at the end of the project life-cycle, or due to expansion or modification of existing project facilities. Cross referencing is made to various other sections of the General EHS Guidelines.

### 4.1 Environment{ TC "4.1 Environment" \f C \l "2" }

#### Noise and Vibration

During construction and decommissioning activities, noise and vibration may be caused by the operation of pile drivers, earth moving and excavation equipment, concrete mixers, cranes and the transportation of equipment, materials and people. Some recommended noise reduction and control strategies to consider in areas close to community areas include:

- Planning activities in consultation with local communities so that activities with the greatest potential to generate noise are

planned during periods of the day that will result in least disturbance

- Using noise control devices, such as temporary noise barriers and deflectors for impact and blasting activities, and exhaust muffling devices for combustion engines.
- Avoiding or minimizing project transportation through community areas

#### Soil Erosion

Soil erosion may be caused by exposure of soil surfaces to rain and wind during site clearing, earth moving, and excavation activities. The mobilization and transport of soil particles may, in turn, result in sedimentation of surface drainage networks, which may result in impacts to the quality of natural water systems and ultimately the biological systems that use these waters.

Recommended soil erosion and water system management approaches include:

#### *Sediment mobilization and transport*

- Reducing or preventing erosion by:
  - Scheduling to avoid heavy rainfall periods (i.e., during the dry season) to the extent practical
  - Contouring and minimizing length and steepness of slopes
  - Mulching to stabilize exposed areas
  - Re-vegetating areas promptly
  - Designing channels and ditches for post-construction flows
  - Lining steep channel and slopes (e.g. use jute matting)
- Reducing or preventing off-site sediment transport through use of settlement ponds, silt fences, and water treatment, and modifying or suspending activities during extreme rainfall and high winds to the extent practical.

### *Clean runoff management*

- Segregating or diverting clean water runoff to prevent it mixing with water containing a high solids content, to minimize the volume of water to be treated prior to release

### *Road design*

- Limiting access road gradients to reduce runoff-induced erosion
- Providing adequate road drainage based on road width, surface material, compaction, and maintenance

### *Disturbance to water bodies*

- Depending on the potential for adverse impacts, installing free-spanning structures (e.g., single span bridges) for road watercourse crossings
- Restricting the duration and timing of in-stream activities to lower low periods, and avoiding periods critical to biological cycles of valued flora and fauna (e.g., migration, spawning, etc.)
- For in-stream works, using isolation techniques such as berming or diversion during construction to limit the exposure of disturbed sediments to moving water
- Consider using trenchless technology for pipeline crossings (e.g., suspended crossings) or installation by directional drilling

### *Structural (slope) stability*

- Providing effective short term measures for slope stabilization, sediment control and subsidence control until long term measures for the operational phase can be implemented
- Providing adequate drainage systems to minimize and control infiltration

### *Air Quality*

Construction and decommissioning activities may generate emission of fugitive dust caused by a combination of on-site excavation and movement of earth materials, contact of construction machinery with bare soil, and exposure of bare soil and soil piles to wind. A secondary source of emissions may include exhaust from diesel engines of earth moving equipment, as well as from open burning of solid waste on-site. Techniques to consider for the reduction and control of air emissions from construction and decommissioning sites include:

- Minimizing dust from material handling sources, such as conveyors and bins, by using covers and/or control equipment (water suppression, bag house, or cyclone)
- Minimizing dust from open area sources, including storage piles, by using control measures such as installing enclosures and covers, and increasing the moisture content
- Dust suppression techniques should be implemented, such as applying water or non-toxic chemicals to minimize dust from vehicle movements
- Selectively removing potential hazardous air pollutants, such as asbestos, from existing infrastructure prior to demolition
- Managing emissions from mobile sources according to Section 1.1
- Avoiding open burning of solid (refer to solid waste management guidance in Section 1.6)

### *Solid Waste*

*Non-hazardous solid waste* generated at construction and decommissioning sites includes excess fill materials from grading and excavation activities, scrap wood and metals, and small concrete spills. Other non-hazardous solid wastes include office, kitchen, and dormitory wastes when these types of operations are part of construction project activities. *Hazardous solid waste* includes contaminated soils, which could potentially be encountered on-site due to previous land use activities, or small

amounts of machinery maintenance materials, such as oily rags, used oil filters, and used oil, as well as spill cleanup materials from oil and fuel spills. Techniques for preventing and controlling non-hazardous and hazardous construction site solid waste include those already discussed in Section 1.6.

## Hazardous Materials

Construction and decommissioning activities may pose the potential for release of petroleum based products, such as lubricants, hydraulic fluids, or fuels during their storage, transfer, or use in equipment. These materials may also be encountered during decommissioning activities in building components or industrial process equipment. Techniques for prevention, minimization, and control of these impacts include:

- Providing adequate secondary containment for fuel storage tanks and for the temporary storage of other fluids such as lubricating oils and hydraulic fluids,
- Using impervious surfaces for refueling areas and other fluid transfer areas
- Training workers on the correct transfer and handling of fuels and chemicals and the response to spills
- Providing portable spill containment and cleanup equipment on site and training in the equipment deployment
- Assessing the contents of hazardous materials and petroleum-based products in building systems (e.g. PCB containing electrical equipment, asbestos-containing building materials) and process equipment and removing them prior to initiation of decommissioning activities, and managing their treatment and disposal according to Sections 1.5 and 1.6 on Hazardous Materials and Hazardous Waste Management, respectively
- Assessing the presence of hazardous substances in or on building materials (e.g., polychlorinated biphenyls, asbestos-containing flooring or insulation) and decontaminating or properly managing contaminated building materials

## Wastewater Discharges

Construction and decommissioning activities may include the generation of sanitary wastewater discharges in varying quantities depending on the number of workers involved. Adequate portable or permanent sanitation facilities serving all workers should be provided at all construction sites. Sanitary wastewater in construction and other sites should be managed as described in Section 1.3.

## Contaminated Land

Land contamination may be encountered in sites under construction or decommissioning due to known or unknown historical releases of hazardous materials or oil, or due to the presence of abandoned infrastructure formerly used to store or handle these materials, including underground storage tanks. Actions necessary to manage the risk from contaminated land will depend on factors such as the level and location of contamination, the type and risks of the contaminated media, and the intended land use. However, a basic management strategy should include:

- Managing contaminated media with the objective of protecting the safety and health of occupants of the site, the surrounding community, and the environment post construction or post decommissioning
- Understanding the historical use of the land with regard to the potential presence of hazardous materials or oil prior to initiation of construction or decommissioning activities
- Preparing plans and procedures to respond to the discovery of contaminated media to minimize or reduce the risk to health, safety, and the environment consistent with the approach for Contaminated Land in Section 1.6
- Preparation of a management plan to manage obsolete, abandoned, hazardous materials or oil consistent with the approach to hazardous waste management described in Section 1.6.

Successful implementation of any management strategy may require identification and cooperation with whoever is responsible and liable for the contamination.

## 4.2 Occupational Health and Safety

### TC "4.2 Occupational Health and Safety" \f C \l "2" }

#### *Over-exertion*

Over-exertion, and ergonomic injuries and illnesses, such as repetitive motion, over-exertion, and manual handling, are among the most common causes of injuries in construction and decommissioning sites. Recommendations for their prevention and control include:

- Training of workers in lifting and materials handling techniques in construction and decommissioning projects, including the placement of weight limits above which mechanical assists or two-person lifts are necessary
- Planning work site layout to minimize the need for manual transfer of heavy loads
- Selecting tools and designing work stations that reduce force requirements and holding times, and which promote improved postures, including, where applicable, user adjustable work stations
- Implementing administrative controls into work processes, such as job rotations and rest or stretch breaks

#### *Slips and Falls*

Slips and falls on the same elevation associated with poor housekeeping, such as excessive waste debris, loose construction materials, liquid spills, and uncontrolled use of electrical cords and ropes on the ground, are also among the most frequent cause of lost time accidents at construction and decommissioning sites.

Recommended methods for the prevention of slips and falls from, or on, the same elevation include:

- Implementing good house-keeping practices, such as the sorting and placing loose construction materials or demolition debris in established areas away from foot paths
- Cleaning up excessive waste debris and liquid spills regularly
- Locating electrical cords and ropes in common areas and marked corridors
- Use of slip retardant footwear

#### *Work in Heights*

Falls from elevation associated with working with ladders, scaffolding, and partially built or demolished structures are among the most common cause of fatal or permanent disabling injury at construction or decommissioning sites. If fall hazards exist, a fall protection plan should be in place which includes one or more of the following aspects, depending on the nature of the fall hazard<sup>95</sup>:

- Training and use of temporary fall prevention devices, such as rails or other barriers able to support a weight of 200 pounds, when working at heights equal or greater than two meters or at any height if the risk includes falling into operating machinery, into water or other liquid, into hazardous substances, or through an opening in a work surface
- Training and use of personal fall arrest systems, such as full body harnesses and energy absorbing lanyards able to support 5000 pounds (also described in this section in Working at Heights above), as well as fall rescue procedures to deal with workers whose fall has been successfully arrested. The tie in point of the fall arresting system should also be able to support 5000 pounds
- Use of control zones and safety monitoring systems to warn workers of their proximity to fall hazard zones, as well as

<sup>95</sup> Additional information on identification of fall hazards and design of protection systems can be found in the United States Occupational Health and Safety Administration's (US OSHA) web site: <http://www.osha.gov/SLTC/fallprotection/index.html>

securing, marking, and labeling covers for openings in floors, roofs, or walking surfaces

### *Struck By Objects*

Construction and demolition activities may pose significant hazards related to the potential fall of materials or tools, as well as ejection of solid particles from abrasive or other types of power tools which can result in injury to the head, eyes, and extremities. Techniques for the prevention and control of these hazards include:

- Using a designated and restricted waste drop or discharge zones, and/or a chute for safe movement of wastes from upper to lower levels
- Conducting sawing, cutting, grinding, sanding, chipping or chiseling with proper guards and anchoring as applicable
- Maintaining clear traffic ways to avoid driving of heavy equipment over loose scrap
- Use of temporary fall protection measures in scaffolds and out edges of elevated work surfaces, such as hand rails and toe boards to prevent materials from being dislodged
- Evacuating work areas during blasting operations, and using blast mats or other means of deflection to minimize fly rock or ejection of demolition debris if work is conducted in proximity to people or structures
- Wearing appropriate PPE, such as safety glasses with side shields, face shields, hard hats, and safety shoes

### *Moving Machinery*

Vehicle traffic and use of lifting equipment in the movement of machinery and materials on a construction site may pose temporary hazards, such as physical contact, spills, dust, emissions, and noise. Heavy equipment operators have limited fields of view close to their equipment and may not see pedestrians close to the vehicle. Center-articulated vehicles create a significant impact or crush hazard zone on the outboard side of

a turn while moving. Techniques for the prevention and control of these impacts include:

- Planning and segregating the location of vehicle traffic, machine operation, and walking areas, and controlling vehicle traffic through the use of one-way traffic routes, establishment of speed limits, and on-site trained flag-people wearing high-visibility vests or outer clothing covering to direct traffic
- Ensuring the visibility of personnel through their use of high visibility vests when working in or walking through heavy equipment operating areas, and training of workers to verify eye contact with equipment operators before approaching the operating vehicle
- Ensuring moving equipment is outfitted with audible back-up alarms
- Using inspected and well-maintained lifting devices that are appropriate for the load, such as cranes, and securing loads when lifting them to higher job-site elevations.

### *Dust*

- Dust suppression techniques should be implemented, such as applying water or non-toxic chemicals to minimize dust from vehicle movements
- PPE, such as dusk masks, should be used where dust levels are excessive

### *Confined Spaces and Excavations*

Examples of confined spaces that may be present in construction or demolition sites include: silos, vats, hoppers, utility vaults, tanks, sewers, pipes, and access shafts. Ditches and trenches may also be considered a confined space when access or egress is limited. In addition to the guidance provided in Section 2.8 the occupational hazards associated with confined spaces and excavations in construction and decommissioning sites should be prevented according to the following recommendations:

- Controlling site-specific factors which may contribute to excavation slope instability including, for example, the use of excavation dewatering, side-walls support, and slope gradient adjustments that eliminate or minimize the risk of collapse, entrapment, or drowning
- Providing safe means of access and egress from excavations, such as graded slopes, graded access route, or stairs and ladders
- Avoiding the operation of combustion equipment for prolonged periods inside excavations areas where other workers are required to enter unless the area is actively ventilated

### *Other Site Hazards*

Construction and decommissioning sites may pose a risk of exposure to dust, chemicals, hazardous or flammable materials, and wastes in a combination of liquid, solid, or gaseous forms, which should be prevented through the implementation of project-specific plans and other applicable management practices, including:

- Use of specially trained personnel to identify and remove waste materials from tanks, vessels, processing equipment or contaminated land as a first step in decommissioning activities to allow for safe excavation, construction, dismantling or demolition
- Use of specially trained personnel to identify and selectively remove potentially hazardous materials in building elements prior to dismantling or demolition including, for example, insulation or structural elements containing asbestos and Polychlorinated Biphenyls (PCBs), electrical components containing mercury<sup>96</sup>
- Use of waste-specific PPE based on the results of an occupational health and safety assessment, including

respirators, clothing/protective suits, gloves and eye protection

## 4.3 Community Health and Safety { TC "4.3 Community Health and Safety" \f C \l "2" }

### General Site Hazards

Projects should implement risk management strategies to protect the community from physical, chemical, or other hazards associated with sites under construction and decommissioning. Risks may arise from inadvertent or intentional trespassing, including potential contact with hazardous materials, contaminated soils and other environmental media, buildings that are vacant or under construction, or excavations and structures which may pose falling and entrapment hazards. Risk management strategies may include:

- Restricting access to the site, through a combination of institutional and administrative controls, with a focus on high risk structures or areas depending on site-specific situations, including fencing, signage, and communication of risks to the local community
- Removing hazardous conditions on construction sites that cannot be controlled affectively with site access restrictions, such as covering openings to small confined spaces, ensuring means of escape for larger openings such as trenches or excavations, or locked storage of hazardous materials

### Disease Prevention

Increased incidence of communicable and vector-borne diseases attributable to construction activities represents a potentially serious health threat to project personnel and residents of local communities. Recommendations for the prevention and control of communicable and vector-borne diseases also applicable to

<sup>96</sup> Additional information on the management and removal of asbestos containing building materials can be found in ASTM Standard E2356 and E1368

construction phase activities are provided in Section 3.6 (Disease Prevention).

## Traffic Safety

Construction activities may result in a significant increase in movement of heavy vehicles for the transport of construction materials and equipment increasing the risk of traffic-related accidents and injuries to workers and local communities. The incidence of road accidents involving project vehicles during construction should be minimized through a combination of education and awareness-raising, and the adoption of procedures described in Section 3.4 (Traffic Safety).

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