

Guidance Note 4 Community Health, Safety and Security

January 1, 2012

Guidance Note 4 corresponds to Performance Standard 4. Please also refer to Performance Standards 1–3 and 5–8 as well as their corresponding Guidance Notes for additional information. Information on all referenced materials appearing in the text of this Guidance Note can be found in the Bibliography.

Introduction

1. Performance Standard 4 recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. In addition, communities that are already subjected to impacts from climate change may also experience an acceleration and/or intensification of impacts due to project activities. While acknowledging the public authorities' role in promoting the health, safety, and security of the public, this Performance Standard addresses the client's responsibility to avoid or minimize the risks and impacts to community health, safety, and security that may arise from project related-activities, with particular attention to vulnerable groups.

2. In conflict and post-conflict areas, the level of risks and impacts described in this Performance Standard may be greater. The risks that a project could exacerbate an already sensitive local situation and stress scarce local resources should not be overlooked as it may lead to further conflict.

Objectives

- **To anticipate and avoid adverse impacts on the health and safety of the Affected Community during the project life from both routine and non-routine circumstances.**
- **To ensure that the safeguarding of personnel and property is carried out in accordance with relevant human rights principles and in a manner that avoids or minimizes risks to the Affected Communities.**

GN1. Consistent with the requirements of Performance Standard 1, the environmental and social risks and impacts identification process presents an opportunity for the client to identify, evaluate, and address potential risks and impacts of the project to Affected Communities, and to decrease the incidence of injuries, illnesses, and deaths from project related activities. Communities are not homogeneous, and there can be differentiated impacts within groups, including vulnerable groups, of women, men, the young, the elderly, and persons with disabilities, which should be taken into account. The breadth, depth, and type of analysis should be proportionate to the nature and scale of the proposed project's risks to and potential impacts on the health and safety of the local community.

GN2. Performance Standard 4 also recognizes that clients have a legitimate obligation and interest in safeguarding company personnel and property. If the client determines that it must use security personnel to do so, security should be provided in a manner that does not jeopardize the community's safety and security, or the client's relationship with the community. It should also be consistent with national requirements, including national laws implementing host country obligations under international law, and with the requirements of Performance Standard 4, which are consistent with good international practice.

Scope of Application

3. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the

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client's Environmental and Social Management System, the elements of which are outlined in Performance Standard 1.

4. This Performance Standard addresses potential risks and impacts to the Affected Communities from project activities. Occupational health and safety requirements for workers are included in Performance Standard 2, and environmental standards to avoid or minimize impacts on human health and the environment due to pollution are included in Performance Standard 3.

Requirements

Community Health and Safety

5. The client will evaluate the risks and impacts to the health and safety of the Affected Communities during the project life-cycle and will establish preventive and control measures consistent with good international industry practice (GIIP),¹ such as in the World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines) or other internationally recognized sources. The client will identify risks and impacts and propose mitigation measures that are commensurate with their nature and magnitude. These measures will favor the avoidance of risks and impacts over minimization.

¹ Defined as the exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally.

GN3. Community health and safety considerations should be addressed through a process of environmental and social risks and impacts identification resulting in an Action Plan for disclosure to project Affected Communities. When complex health or safety issues are involved, it may be appropriate for the client to engage external experts for a free-standing assessment, complementing the risks and impacts identification process required under Performance Standard 1. Details of the Health Impact Assessment process and examples of critical elements can be found in [IFC's Introduction to Health Impact Assessment](#). The handbook provides detailed guidance on the assessment of health impacts for projects with higher risks of health impacts of varying degrees of complexity covering such aspects as consulting with communities on health and safety aspects, assessment of baseline conditions, health monitoring by private sector companies and local governments, health risk assessment, and mitigation measures for the main categories of community health risks. Other sources of guidance on the management of health and safety aspects include applicable sections of the [World Bank Group General Environmental, Health, and Safety \(EHS\) Guidelines](#) (for example, [Section 1.5, Hazardous Materials Management](#)). Where mitigation measures require action by third parties, such as national or local governments, the client should, if permitted by the relevant governmental agency, be prepared to work with them in order to find a solution that helps meet the requirements of Performance Standard 4.

GN4. The community engagement requirements of Performance Standard 4 can be met through implementation of the community engagement process described in paragraphs 22 through 25 of Performance Standard 1, including the informed consultation and participation process of Affected Communities, in the case of projects with potential significant adverse impacts on them.

GN5. Community health and safety management is more than a technical issue. It also requires a sound understanding of the social and cultural processes through which communities experience, perceive, and respond to risks and impacts. Community perceptions are often conditioned less by technical or quantitative assessments, and more by the ways in which community members experience change in their environments. They are, for example, likely to have greater perception of risk where it is

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involuntary, complex, beyond their personal control, or where the distribution of risks and benefits is considered inequitable.

Infrastructure and Equipment Design and Safety

6. The client will design, construct, operate, and decommission the structural elements or components of the project in accordance with GIPP, taking into consideration safety risks to third parties or Affected Communities. When new buildings and structures will be accessed by members of the public, the client will consider incremental risks of the public's potential exposure to operational accidents and/or natural hazards and be consistent with the principles of universal access. Structural elements will be designed and constructed by competent professionals, and certified or approved by competent authorities or professionals. When structural elements or components, such as dams, tailings dams, or ash ponds are situated in high-risk locations, and their failure or malfunction may threaten the safety of communities, the client will engage one or more external experts with relevant and recognized experience in similar projects, separate from those responsible for the design and construction, to conduct a review as early as possible in project development and throughout the stages of project design, construction, operation, and decommissioning. For projects that operate moving equipment on public roads and other forms of infrastructure, the client will seek to avoid the occurrence of incidents and injuries to members of the public associated with the operation of such equipment.

GN6. Qualified and experienced professionals are those with proven experience designing and constructing projects of a similar complexity. Qualifications may be demonstrated through a combination of formal technical training and practical experience, or through more formal professional registration or certification systems at the national or international levels.

GN7. The need for certification and approval of structural elements to meet the requirements of Performance Standard 4 will entail consideration of engineering safety competencies including geotechnical, structural, electrical, mechanical, and fire specialties. Clients will be expected to base this determination, which in some cases will be in addition to or beyond local regulatory requirements, on the potential risk of adverse consequences posed by the nature and use of these structural elements and the natural conditions of the area (i.e., potential for hurricanes, earthquakes, flooding, etc.). Additional guidance is provided in the General and Industry Sector EHS Guidelines.

GN8. Projects involving structures and buildings accessible to workers and the public must obtain certification of structural and fire safety aspects by engineering and fire safety professionals registered with national or international professional organizations to perform such certification and/or local regulatory agencies with oversight on these matters. 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. Examples of the type of buildings include: health and education facilities; hotels, convention centers, and leisure facilities; retail and commercial facilities; and airports, other public transport terminals, and transfer facilities. Section 3.3 (L&FS) of the General EHS Guidelines further defines this requirement as it relates to fire and other safety standards for new buildings and buildings to be renovated. In the case of buildings destined for public access or other high risk structures, certification must be conducted at the design stage of the project and after construction. Operational phase certifications may be required in some cases where the potential for structural changes during operation is a concern. For all projects with risks to workers and the public, the client should also build its internal capacity to monitor engineering and fire safety of its operations, including periodic monitoring and internal audits.

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GN9. High risk structural elements are also commonly encountered in larger projects and include those that could threaten human life in the event of failure, such as dams located upstream of communities. In these cases, a risk assessment, in addition to the local engineering certification requirements, should be performed by competent experts and external experts. Representative types of dams which may require risk assessments and/or review by external experts include hydroelectric power dams; mine tailings dams; dams for ash ponds; fluid overburden and spoils dams; water and other liquid storage dams; and dams for wastewater and storm water management. For examples of risk-based criteria that can be used to evaluate dams see Annex A.

GN10. In line with the safety concerns addressed in the previous paragraphs of this Guidance Note, consistent with the Performance Standard 1 requirements applicable to the protection of vulnerable groups as well as Performance Standard 2 requirements on non-discrimination and equal opportunity, buildings designed for access by members of the public should also address the safe and open accessibility and egress for persons with disabilities. Where new buildings will be accessed by the public, the design should be consistent with the principles of universal access. The Convention on the Rights of Persons with Disabilities, which sets out the legal obligations of States to promote and protect the rights of persons with disabilities, includes aspects of universal accessibility. Certain cultural, legal, and institutional barriers make women and girls with disabilities the victims of two-fold discrimination: as women and as persons with disabilities. The issue of accessibility is among the key principles of the Convention which should be included in the design and operation of buildings intended for public use. The concept of "Universal Design" is defined in Article 2 of the United Nations (UN) convention as follows: *"the design of products, environments, programmes and services to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design" "Universal Design" shall not exclude assistive devices for particular groups of persons with disabilities where this is needed*". The concept of "Reasonable Accommodation" can be utilized in situations where Universal Design alone is insufficient to remove barriers to accessibility. As defined in the UN convention, "Reasonable Accommodation" means *"necessary and appropriate modification and adjustments not imposing a disproportionate or undue burden, where needed in a particular case, to ensure to persons with disabilities the enjoyment or exercise on an equal basis with others of all human rights and fundamental freedoms."*

GN11. According to the UN Global Status Report on Road Safety (2009), approximately 1.3 million people die each year on the world's roads, and between 20 and 50 million sustain non-fatal injuries. A significant proportion of these fatalities and injuries involve pedestrians, cyclists and motorcyclists. Private sector entities whose commercial activities depend on the use of owned or contracted road vehicle fleets for the transport of goods or provision of services have a particularly important role and responsibility in preventing road accidents to safeguard the lives of community residents along transport routes as well as the lives of their own employees. The role of companies is even more important in jurisdictions with poor quality infrastructure (i.e., lack of proper signaling and illumination, poor road surfaces, lack of proper pedestrian walkways and cross-walks, urban congestion, etc.), poor driver regulations and enforcement (i.e., weak driver licensing rules and enforcement and poor enforcement of road safety rules such as speed limits), and inadequate emergency response infrastructure (i.e., lack of emergency ambulatory and trauma care). Therefore, the client should implement driver and traffic safety programs proportional to the scope and nature of project activities according to the principles described in the General EHS Guidelines (Section 3.4 Traffic Safety). Where transport-related activities are performed by subcontractors, clients should use commercially reasonable efforts to influence the safety of these service providers, contractually requiring traffic safety risk analysis and adoption and implementation of driver safety programs. Management programs should include traffic emergency preparedness and response plans that address contingencies for emergency assistance to the driver and to third parties alike, particularly in remote locations or situations with little capacity to address emergencies involving trauma cases and other serious injuries.

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Hazardous Materials Management and Safety

7. The client will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the project. Where there is a potential for the public (including workers and their families) to be exposed to hazards, particularly those that may be life-threatening, the client will exercise special care to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards. Where hazardous materials are part of existing project infrastructure or components, the client will exercise special care when conducting decommissioning activities in order to avoid exposure to the community. The client will exercise commercially reasonable efforts to control the safety of deliveries of hazardous materials, and of transportation and disposal of hazardous wastes, and will implement measures to avoid or control community exposure to pesticides, in accordance with the requirements of Performance Standard 3.

GN12. In addition to addressing the release of hazardous materials consistent with Performance Standard 3, clients should also evaluate the risks and impacts posed by the management of hazardous materials that may extend beyond the project's property boundary and into areas inhabited or used by the community. Clients should take steps to avoid or minimize community exposure to hazards associated with the project. One of the ways to accomplish this is by using less hazardous substitutes where they are found to be technically and financially feasible and cost effective.

GN13. Because some hazardous materials may pose a significant risk to the community at the end of their life-cycle, Performance Standard 4 requires that clients make reasonable efforts to avoid their use, unless there are no feasible alternatives or the client can ensure their safe management. Examples of materials whose use is no longer considered good practice include asbestos-containing building materials or PCBs in electrical equipment. The safe management of hazardous materials should extend into the decommissioning phase of the project when remaining wastes, including demolition wastes, must be safely managed according to the waste management requirements of Performance Standard 3. Additional guidance is provided in the General EHS Guideline (as described in Section 1.5 – Hazardous Materials Management) and relevant sections of the Industry Sector EHS Guidelines. The assessment of potential impacts due to exposure to hazardous materials should consider differentiated activities and use of resources by community members, taking into account the most vulnerable, susceptible, or potentially exposed members of the population. For example, in an evaluation of environmental exposures to contaminated media, women may be found to be the most significantly affected through exposure to contaminated water (while at work washing clothes or collecting water) or children through exposure to contaminated soils while at play. Where exposure assessments are necessary, they should be based on internationally accepted quantitative risk assessment frameworks (as described in the General EHS Guidelines, Section 1.8 – Contaminated Land).

GN14. Even if clients cannot exert direct control over the actions of their contractors and subcontractors, clients should use commercially reasonable means to investigate their capacity to address safety issues, communicate their expectations of safety performance, and otherwise influence the safety behavior of contractors, especially those involved in the transportation of hazardous materials to and from the project site.

Ecosystem Services

8. The project's direct impacts on priority ecosystem services may result in adverse health and safety risks and impacts to Affected Communities. With respect to this Performance Standard, ecosystem services are limited to provisioning and regulating services as defined in paragraph 2 of Performance Standard 6. For example, land use changes or the loss of natural buffer areas such as wetlands, mangroves, and upland forests that mitigate the

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effects of natural hazards such as flooding, landslides, and fire, may result in increased vulnerability and community safety-related risks and impacts. The diminution or degradation of natural resources, such as adverse impacts on the quality, quantity, and availability of freshwater,² may result in health-related risks and impacts. Where appropriate and feasible, the client will identify those risks and potential impacts on priority ecosystem services that may be exacerbated by climate change. Adverse impacts should be avoided, and if these impacts are unavoidable, the client will implement mitigation measures in accordance with paragraphs 24 and 25 of Performance Standard 6. With respect to the use of and loss of access to provisioning services, clients will implement mitigation measures in accordance with paragraphs 25–29 of Performance Standard 5.

² Freshwater is an example of provisioning ecosystem services.

GN15. These requirements primarily apply to projects that may result in significant changes to the physical environment, such as natural vegetation cover, existing topography, and hydrologic regimes including projects such as mining, industrial parks, roads, airports, pipelines, and new agricultural development. In these cases, special precautions should be followed to prevent geological instability, safely manage storm water flow, prevent a reduction in the availability of surface water and groundwater for human and agricultural use (depending on the sources of water that the community has traditionally relied on), and prevent degradation in the quality of these resources. These requirements also apply to soil resources used by the community for agricultural or other purposes. Climate-dependent projects (i.e. those projects whose operation is closely tied to local or regional hydrologic regimes) such as hydroelectric power, water and sanitation, irrigated and rain-fed agriculture and forestry; projects that make use of freshwater resources in their manufacturing processes (i.e., for production or for cooling needs) and projects potentially subject to coastal or river flooding or landslides, should evaluate potential impacts due to predicted or observed changes in hydrology, including a review of reasonably accessible historical hydrologic information (including frequency and intensity of hydrologic events) and scientifically projected trends. The evaluation of climate-related risks should include a discussion of potential changes in hydrologic scenarios, and the resulting potential impacts and mitigation measures considered in the design and operation of the project. This evaluation shall be commensurate with the availability of data and with the scale of the potential impacts.

GN16. Consistent with the requirements of Performance Standard 3, the quality of soil and water as well as other natural resources such as fauna and flora, woodlands, forest products and marine resources, should be protected so as not to pose an unacceptable risk to human health, safety, and the environment due to the presence of pollutants. These requirements also apply to the project's decommissioning phase, where the client should ensure that the ambient quality of the project site is compatible with its intended future use. General information on the management and use of renewable natural resources can be found in paragraphs 21 through 22 of Performance Standard 6 and its accompanying Guidance Note.

Community Exposure to Disease

9. The client will avoid or minimize the potential for community exposure to water-borne, water-based, water-related, and vector-borne diseases, and communicable diseases that could result from project activities, taking into consideration differentiated exposure to and higher sensitivity of vulnerable groups. Where specific diseases are endemic in communities in the project area of influence, the client is encouraged to explore opportunities during the project life-cycle to improve environmental conditions that could help minimize their incidence.

10. The client will avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project labor.

GN17. Paragraph 9 of Performance Standard 4 applies primarily to projects that may cause significant changes in the natural hydrologic regime of an area, such as dams and irrigation schemes or projects located in areas without proper sanitary wastewater discharge and treatment infrastructure. The waterborne diseases mentioned in Performance Standard 4 and the types of project activities that may contribute to their incidence are described in further detail in Annex B. The client is encouraged to find opportunities during the project life-cycle to improve environmental conditions, such as improvement in site drainage patterns, in order to limit possible habitats for vectors linked to water-based and water-related disease, or improvements in potable water availability or sanitary wastewater collection, treatment, or discharge, especially where these can be provided at marginal cost to the project. However, health impacts to potentially Affected Communities should be broadly considered and not just restricted to infectious diseases.^{GN1} In many settings, changes in natural vegetation and habitat have pronounced impacts on vector-borne diseases. Poorly designed surface water drainage and creation of construction pits and depressions can have potentially adverse impacts on adjacent local communities. Primary prevention through appropriate design and construction techniques is likely to be an extremely cost-effective strategy if applied early during the front-end engineering design cycle. In contrast, retrofitting facilities and physical structures is expensive and difficult. Significant health improvements can be captured by careful design and construction improvements in four critical sectors: (i) housing; (ii) water and sanitation; (iii) transportation; and (iv) information and communication facilities. The public health implications, both positive and negative, of physical structures are often overlooked. Building and construction activity invariably alters habitats with the potential for both short- and long-term disease consequences. For example, water storage facilities may have significant consequences for the distribution and transmission of vector-borne diseases such as malaria, schistosomiasis, and dengue fever. The evaluation of potential health impacts should include consideration of potential changes to hydrologic regimes as described in paragraph GN16 above.

GN18. Consideration of typical communicable infectious diseases is equally important. Communicable diseases can pose a risk to the viability of businesses by affecting the availability of a labor pool, the productivity of the workforce, or even the customer base. Communicable diseases, also referred to as infectious diseases, are described as illnesses that are attributable to specific infectious agents or their toxic products that arise through transmission of these agents or their products from an infected person, animal, or inanimate reservoir to a susceptible host. Transmission may occur either directly or indirectly through an intermediate plant or animal host, vector, or the inanimate environment. Examples of communicable diseases include water-borne (e.g., amoebiasis, cholera, and typhoid), water-related (e.g., malaria and arboviral disease), food-borne (e.g., botulism, hepatitis A, and Creutzfeldt-Jakob disease), respiratory diseases (e.g., influenzas, SARS, and tuberculosis), and sexually transmitted infections (STIs) (e.g., chlamydia, syphilis, HIV/AIDS, and gonorrhea). The spread of some communicable diseases can be difficult to control without a comprehensive approach involving community members, national and local governments, and in some cases, the support of international health agencies. At the community level, the client may want to engage with and call upon women in the community to help manage any communicable diseases, particularly due to women's primary role as caretakers of ill family and community members, and due to their vulnerability and their productive and reproductive roles.

GN19. The client should have adequate surveillance programs to screen the health of its workers, which may include documenting and reporting on existing diseases as required in paragraph 21 of Performance Standard 2. If the client proposes to bring in skilled third-country national workers for short-term

^{GN1} There is a clear differentiation between the traditional definition of "public health" with its disease-specific focus and the more broadly defined "environmental health" which encompasses the "human living environment" (see Environmental Health: Bridging the Gap in the Bibliography).

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construction activities, then careful pre-employment screening should be considered. The disease burdens of many important communicable diseases (e.g., malaria, tuberculosis, influenza) can vary significantly from one region of the world to another. Disease resistance patterns can also vary significantly (e.g., multi-drug resistant tuberculosis). Therefore, the client should take precautions to avoid any inadvertent introduction of new or highly resistant diseases into host communities. Similarly, the reverse situation—host communities introducing diseases into “naïve” work populations—should also be anticipated and avoided. Within the local community (including workers and their families), the client is encouraged to play an active role to prevent the transmission of communicable diseases through communication and educational programs designed to raise awareness. If the client’s workers are composed of a significant percentage of local community residents, they constitute an ideal “peer education” group for introducing positive health programs in host communities.

GN20. Employee or contractor actions can also have significant health impacts in relation to two key areas: (i) transmission of STIs, including HIV/AIDS; and (ii) fatalities and injuries. For example, in most settings, long-haul truckers have significantly higher rates of STIs than the host communities. Clients should carefully consider the use of specific education and training programs for transportation contractors. In the tourism industry, particularly in community contexts where there is a higher prevalence of STIs, the client may be able to prevent the further transmission of communicable diseases, after the construction phase, following best practice on the prevention of travel and tourism sexual exploitation that affects particularly women and children. The [Code of Conduct for the Protection of Children from Sexual Exploitation in Travel and Tourism](#) offers practical guidance to suppliers of tourism services.

GN21. The client should also ensure that health information obtained as part of its efforts to prevent the transmission of communicable diseases, such as through the use of pre-employment medical exams and other forms of health screening, will not be used for exclusion from employment or any other form of discrimination. For further details on good practices to address HIV/AIDS, see [IFC’s Good Practice Note on HIV/AIDS in the Workplace](#), and the [HIV/AIDS Resource Guide for the Mining Sector](#).

Emergency Preparedness and Response

11. In addition to the emergency preparedness and response requirements described in Performance Standard 1, the client will also assist and collaborate with the Affected Communities, local government agencies, and other relevant parties, in their preparations to respond effectively to emergency situations, especially when their participation and collaboration are necessary to respond to such emergency situations. If local government agencies have little or no capacity to respond effectively, the client will play an active role in preparing for and responding to emergencies associated with the project. The client will document its emergency preparedness and response activities, resources, and responsibilities, and will disclose appropriate information to Affected Communities, relevant government agencies, or other relevant parties.

GN22. Where the consequences of emergency events are likely to extend beyond the project property boundary or beyond the Affected Community or originate outside of the project property boundary (e.g., hazardous material spill during transportation on public roadways), the client is required to design emergency response plans based on the risks to the health and safety of the Affected Community and other stakeholders. Emergency plans should be developed in close collaboration and consultation with potentially Affected Communities and other stakeholders and should include detailed preparation to safeguard the health and safety of workers and the communities in the event of an emergency. Further requirements and guidance on this subject, including some of the basic elements of emergency preparedness and response plans, are provided in Performance Standard 1, and the accompanying Guidance Note 1.

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GN23. The client should provide relevant local authorities, emergency services, and the Affected Communities and other stakeholders with information on the nature and extent of environmental and human health effects that may result from routine operations and unplanned emergencies at the project facility. Information campaigns should describe appropriate behavior and safety measures in the event of an incident, as well as actively seek views concerning risk management and Affected Community or other stakeholder preparedness. In addition, clients should consider including the Affected Community and other stakeholders in regular training exercises (e.g., simulations, drills, and debriefs of exercises and actual events) to familiarize them with proper procedures in the event of an emergency. Emergency plans should address the following aspects of emergency response and preparedness:

- Specific emergency response procedures
- Trained emergency response teams
- Emergency contacts and communication systems/protocols
- Procedures for interaction with local and regional emergency and health authorities
- Permanently stationed emergency equipment and facilities (e.g., first aid stations, fire extinguishers/hoses, sprinkler systems)
- Protocols for fire truck, ambulance, and other emergency vehicle services
- Evacuation routes and meeting points
- Drills (annual or more frequently as necessary)

Additional guidance is provided in the [General EHS Guidelines \(Section 3.7 – Emergency Preparedness and Response\)](#) and the relevant section of the Industry Sector EHS Guidelines.

Security Personnel

12. When the client retains direct or contracted workers to provide security to safeguard its personnel and property, it will assess risks posed by its security arrangements to those within and outside the project site. In making such arrangements, the client will be guided by the principles of proportionality and good international practice³ in relation to hiring, rules of conduct, training, equipping, and monitoring of such workers, and by applicable law. The client will make reasonable inquiries to ensure that those providing security are not implicated in past abuses; will train them adequately in the use of force (and where applicable, firearms), and appropriate conduct toward workers and Affected Communities; and require them to act within the applicable law. The client will not sanction any use of force except when used for preventive and defensive purposes in proportion to the nature and extent of the threat. The client will provide a grievance mechanism for Affected Communities to express concerns about the security arrangements and acts of security personnel.

13. The client will assess and document risks arising from the project's use of government security personnel deployed to provide security services. The client will seek to ensure that security personnel will act in a manner consistent with paragraph 12 above, and encourage the relevant public authorities to disclose the security arrangements for the client's facilities to the public, subject to overriding security concerns.

³ Including practice consistent with the United Nation's (UN) Code of Conduct for Law Enforcement Officials, and UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials.

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14. The client will consider and, where appropriate, investigate all allegations of unlawful or abusive acts of security personnel, take action (or urge appropriate parties to take action) to prevent recurrence, and report unlawful and abusive acts to public authorities.

GN24. Security arrangements to protect a client's personnel and property will typically depend in large part on security risks in the operating environment, though other factors, such as company policy or the need to protect intellectual property or hygiene in production operations, can also influence security decisions. In determining what security arrangements and equipment are necessary, clients should apply the principle of proportionality. In many circumstances, a night watchman may be all that is required, together with some basic security awareness training for staff, sign-posting, or well-placed lighting and fences. In more complex security environments, the client may have to directly employ further security personnel or engage private security contractors, or even work directly with public security forces.

GN25. It is important for clients to assess and understand the risks involved in their operations, based on reliable and regularly updated information. For clients with small operations in stable settings, a review of the operating environment can be relatively straightforward. For larger operations or those in unstable environments, the review will be a more complex and thorough risks and impacts identification process that may need to consider political, economic, legal, military, and social developments, any patterns and causes of violence and potential for future conflicts. It may be necessary for clients to also assess the record and capacity of law enforcement and judicial authorities to respond appropriately and lawfully to violent situations. If there is social unrest or conflict in the project's area of influence, the client should understand not only the risks posed to its operations and personnel but also whether its operations could create or exacerbate conflict. Conversely, if the client's operations involving the use of security personnel are consistent with Performance Standard 4, they may avoid or mitigate adverse impacts on the situation and contribute to the improvement of security conditions around the project area. Clients should consider security risks associated with the entire range and all stages of their operational activities, including personnel, products, and materials being transported. The risks and impacts identification process should also address negative impacts on workers and the surrounding communities, such as the potential for increased communal tensions due to the presence of security personnel or the risk of theft and circulation of firearms used by security personnel.

GN26. Community engagement is a central aspect of an appropriate security strategy, as good relations with workers and communities can be the most important guarantee of security. Clients should communicate their security arrangements to workers and Affected Communities, subject to overriding safety and security needs, and involve them in discussions about the security arrangements through the community engagement process described in Performance Standard 1.

GN27. Men and women usually have different security needs and experiences. Thus, in order to increase the chances of operational success, security personnel may need to consider the impact of their activities on local women, men, boys, and girls. Awareness of culturally-specific gender issues will help security staff to adjust to the Affected Community and to be more responsive to the cultural milieu in which they work, which can enhance local acceptance of the presence of private security staff. Clients may consider the inclusion of female security staff who not only can conduct searches on women, but who may also be able to take a different approach in identifying and handling security risks.^{GN2}

GN28. Clients should require the appropriate conduct of security personnel they employ or engage. Security personnel should have clear instructions on the objectives of their work and permissible actions. The level of detail of the instructions will depend on the scope of permitted actions (particularly if security personnel are permitted to use force and, in exceptional circumstances, firearms) and the number of

^{GN2} Private Military and Security Companies and Gender (UN INSTRAW and the Geneva Centre for the Democratic Control of Armed Forces, DCAF, 2008).

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personnel. The instructions should be based on applicable law and professional standards. These instructions should be communicated as terms of employment and reinforced through periodic professional training.

GN29. If security personnel are permitted to use force, instructions must be clear on when and how force may be used, specifying that security personnel are permitted to use force only as a matter of last resort and only for preventive and defensive purposes in proportion to the nature and extent of the threat, and in a manner that respects human rights (see paragraph GN31 below). When the use of firearms is necessary, any firearms and ammunition issued should be licensed, recorded, stored securely, marked and disposed of appropriately. Security personnel should be instructed to exercise restraint and caution, clearly prioritizing prevention of injuries or fatalities and peaceful resolution of disputes. The use of physical force should be reported to and investigated by the client. Any injured persons should be transported to medical facilities.

GN30. The conduct of security personnel should be based on the principle that providing security and respecting human rights can and should be consistent. For example, if community members decide to associate, assemble, and speak out in opposition to the project, the client and any security personnel who interact with them should respect the right of the local communities to do so. The instructions for security personnel should also make clear that arbitrary or abusive use of force is prohibited.

GN31. Who provides security is as relevant as how security is provided. When employing or engaging any security personnel, the client should make reasonable inquiries to investigate the employment record and other available records, including any criminal record, of individuals or firms and should not employ or use any individuals or companies that have abused or violated human rights in the past. Clients should use only security professionals who are, and continue to be, adequately trained.

GN32. The client should record and investigate security incidents to identify any necessary corrective or preventive actions for continuing security operations. To promote accountability, the client (or other appropriate party such as the security contractor or appropriate public or military authority) should take corrective and/or disciplinary action to prevent or avoid a repetition if the incident was not handled according to instructions. Unlawful acts of any security personnel (whether employees, contractors, or public security forces) should be reported to the appropriate authorities (bearing in mind that clients may have to use their judgment about reporting violations if they have legitimate concerns about treatment of persons in custody). Clients should follow up on reported unlawful acts by actively monitoring the status of investigations and pressing for their proper resolution. The grievance mechanism required under Performance Standard 1 provides another avenue for workers, Affected Communities and other stakeholders to address concerns about security activities or personnel within the client's control or influence.

GN33. There may be cases where the government decides to deploy public security forces to protect a client's operations, whether on a routine or as needed basis. In countries where it is illegal for companies to employ private security forces, the client may have no choice but to engage public security forces to protect its assets and employees. Governments have the primary responsibility for maintaining law and order and the decision-making authority with respect to deployments. Nonetheless, clients whose assets are being protected by public security forces have an interest in encouraging those forces to behave consistently with the requirements and principles set out above for private security personnel in order to promote and maintain good relations with the community, bearing in mind that public security forces may be unwilling to accept restrictions on their ability to use offensive force where they consider necessary. Clients are expected to communicate their principles of conduct to public security forces, and express their desire that security be provided in a manner consistent with those standards by personnel with adequate and effective training. The client should request the government to disclose information about the arrangements to the client and the community, subject to overriding safety and security needs. If



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clients are required or requested to compensate the public security forces or provide equipment to them, and if the option of declining the request is not available or desirable, clients may choose to provide in kind compensation, such as food, uniform, or vehicles, rather than cash or lethal weapons. Clients should also try to implement restrictions, controls, and monitoring as necessary and possible under the circumstances to prevent misappropriation or use of the equipment in a manner that is not consistent with the principles and requirements set out above.

Annex A

Examples of Risk-based Criteria for Assessment of Dams

In the case of dams and impoundments, external experts should base their evaluation of safety on specific risk criteria. External experts should initially refer to national regulations and methodologies. Should such regulations not be available in the country, existing, well-developed methodologies promulgated by authorities in countries with mature dam safety programs should be referred to and adapted as necessary to local conditions. In broad terms, risk assessment criteria may include the following aspects:

- Design flood
- Design earthquake (maximum credible event)
- Properties of construction process and properties of construction materials
- Design philosophy
- Foundation conditions
- Height of dam and volume of materials contained
- Quality control during construction
- Management capacity of the client/operator
- Provisions for financial responsibility and closure
- Financial resources for operation and maintenance, including closure when applicable
- Population at risk downstream of the dam
- Economic value of assets at risk in case of dam failure

Annex B

Definitions of Water Diseases

Waterborne	Water-based	Water-related	Water-washed
<p>Water-borne illnesses are those caused by consuming water contaminated by human, animal, or chemical wastes. These diseases are especially prevalent in areas lacking access to adequate sanitation facilities, and include diarrhea, cholera and typhoid.</p>	<p>Water-based illnesses are caused by parasites that spend at least part of their life cycles in water. These include guinea worm and schistosomiasis.</p>	<p>Water-related illnesses are those transmitted by vectors that live and breed in or around water. Vectors are insects or animals that carry and transmit parasites between infected people or animals. This category of disease includes malaria, transmitted by mosquitoes.</p>	<p>Water-washed illnesses are those that can be prevented through more frequent hand washing and bathing, including trachoma and onchocerciasis.</p>
<ul style="list-style-type: none"> ▪ Contaminated water that is consumed may result in water-borne diseases including viral hepatitis, typhoid, cholera, dysentery and other diseases that cause diarrhea 	<ul style="list-style-type: none"> ▪ Water-based diseases and water-related vector-borne diseases can result from water supply projects (including dams and irrigation structures) that inadvertently provide habitats for mosquitoes and snails that are intermediate hosts of parasites that cause malaria, schistosomiasis, lymphatic filariasis, onchocerciasis and Japanese encephalitis 	<ul style="list-style-type: none"> ▪ Water-related vector-borne diseases can result from water supply projects (including dams and irrigation structures) that inadvertently provide habitats for mosquitoes that are intermediate hosts of parasites that cause malaria, lymphatic filariasis, and Japanese encephalitis 	<ul style="list-style-type: none"> ▪ Ascariasis (roundworm infection) ▪ Ancylostomiasis (hookworm infection)

Annotated Bibliography

Several of the requirements set out in the performance standard are based on principles expressed in the following international agreements and in related guidelines:

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ICMM (International Council for Mining and Metals). 2010. *Good Practice Guidance on Health Impact Assessment*. London: ICMM. <http://www.icmm.com/library/hia>. This 90-page book offers a set of tools to help site practitioners assess and address the risks posed by hazards in the mining and metals sector.

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