E&S Checklist and Plausibility Questions for a Site visit

I. Before the site visit – How can you get prepared?	
Information Source / Aspects to consider	

- Research of publically available information.
- Overview of industry-specific impacts.
- General description of production activities.
- Where is the site located?
- What is the surrounding use of the site (residential areas, protected areas, etc)?
- Do additional areas belong to the site (further production sites, storage halls, landfills, etc.)?
- What is part of the site?
- Where are the site borders?
- Where are the relevant parts of the site located?
- Ask for Environmental, Health & Safety (H&S), and/or Corporate Social Responsibility officers / responsible persons (eventually Trade Union).
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II. During the Site visit		
E&S issues	Observations / Alarm Signals / Indication	Plausibility Questions
1. Travel / Arrival		
Project location Visible community impacts Construction Activities Protected Areas Natural resources	• General environmental and social situation in the surrounding • General level of environmental and social impacts	→ Talk to taxi drivers, local guides, etc. • Are you aware of any recent environmental and social incidents in the area? • What are the major problems of the people in the area?
2. Site Gate		
Armed Security Forces Labor Issues Environmental and Social Management System Labor and Conditions	• Armed security forces at the gate and/or at the site • Recording system of working hours • Environmental and safety instructions for contractors, visitors, etc.	• What are the reasons for the armed forces? • Are the armed security forces employees or external people? • Are there regulations about the storage and use of weapons in place? • Are you aware of any incidents where weapons had to be used? • Are working hours recorded at the site? • Are there any instructions for contractors, visitors, etc. in place?
3. Production and Storage Areas		
Labor Issues - Employment	• General housekeeping	• Is the management system at the site certified

II. During the Site visit		
E&S issues	Observations / Alarm Signals / Indication	Plausibility Questions
Environmental and Social Management System Labor and Working Conditions – accidents, labor standards, protective equipment (PPE) Pollution Prevention and Abatement	• Condition of the floors • Fire safety and emergency exits • Lighting • Forklift traffic • Technical protection measures: emergency stop, extraction, etc. • PPE • Danger and warning signs	according to ISO 9001, 14001, OHSAS`18001, and/or SA 8000? • What were the results of the latest (re-) certification audits? • Are you aware of any recent environmental and social incidents in the area? • What were the latest accidents that occurred at the site? • Are you aware of any complaints from the employees? • Are you aware of any asbestos containing material at the site and has an asbestos survey ever been conducted? • Do all drivers of the forklifts possess the required licenses and trainings? • What kind of hazardous substances are used at the site? • Is PPE provided at the site and who is responsible for the provision? • Are contractors working at the site? • What technical protection measures (emergency stops, extraction, etc.) is available at the site?
4. Workshop		
Contractors and outsourcing Environmental and Social Management System PPE Hazardous Substances	• Storage of hazardous substances • Housekeeping • Secondary containment and binding agents • Leakages • Condition of the floors • PPE	• What kind of hazardous substances are used at the site and where are the substances stored? • Is PPE provided at the site and who is responsible for the provision? • Are contractors working at the site?
5. Staff Rooms / Accomodation / Canteen		
Contractors and outsourcing Construction Activities Environmental and Social Management System	• Sanitary arrangements • Room policies (occupancy, etc.) • Fire safety (fire extinguisher) • General housekeeping • Certificates • Hygiene standards	• Are there any accommodation facilities present at the site? • Are these facilities located on-site or off-site? • Who is accommodated in the facilities? • Are regular evacuation drills performed at the site? • Who is responsible for the cooking in the canteen? • Who is responsible for the cleaning of the staff rooms, the accommodation, and the canteen?
6. Wastewater treatment facility		
Compliance Wastewater	• Wastewater treatment plant existing • Direct discharge of wastewater	• Is the site subject to any water permits? • Which types of wastewater result from the site?

II. During the Site visit		
E&S issues	Observations / Alarm Signals / Indication	Plausibility Questions
Potential for contamination Water quality	into water courses • Pipes • Underground facilities (duct covers, oil/water-separators, etc.) • Discoloration, staining, odors, vapor, etc. of water	• Is a wastewater treatment accomplished at the site (e.g. wastewater treatment facility)? • Does wastewater monitoring take place? • Are monitoring protocols, etc. available for review? • Have there been any incidents related to surface water or groundwater?
7. Storage Area for Hazardous Substances/ Filling Station / Tank Facilities		
Fuels Hazardous and flammable substances Potential for contamination Water quality	• General housekeeping • Secondary containment • Danger and warning signs • Leakages • Condition of the tank facilities (rust, etc.) • Fire protection • Constructional protection measures	• What kind of hazardous substances are used at the site? • Where are the hazardous substances stored? • Are all hazardous substances stored on secondary containment? • Does the site compile a register of hazardous substances? • Is a filling station operated at the site? • Are there any aboveground or underground storage tanks located at the site? • Are inspection protocols, etc. available for review?
8. Waste Collection Area		
Waste collection Hazardous waste Potential for contamination Water quality	• Labeling of waste containers • General housekeeping • Secondary containment • Leakages • Condition of the floor • Waste separation	• What types of waste result from the site? • Who is collecting the waste and how is it disposed? • Who is responsible for waste management at the site? • Has waste ever been treated, burnt, or land filled at the site? • Is there any waste documentation available for review?
9. Outdoor and auxiliary Areas		
Contractors and outsourcing Environmental and Social Management System PPE Air emissions Potential for contamination Fuels Neighborhood Water quality Restricted substances	• Discoloration, staining, odors, vapor, etc. • Leakages • Waste, landfills • Danger and warning signs • General housekeeping • Transformers (PCB), asbestos containing roofing material • Cooling facilities • Air emissions • Fire, smoke, vapor	• Are you aware of any subsurface impacts? • Has there ever been a subsurface investigation taken place at the site? • Are you aware of any subsurface remediation measures having taken place at the site? • Are you aware of any asbestos / PCB containing material at the site and has an asbestos /PCB survey ever been conducted? • Are you aware of any cooling facilities at the site and do you know the cooling agents? • Is energy generated at the site? • What sources of air emissions are there on the site? • Are you aware of any complaints from the authorities, the neighborhood, etc.?
10. Brownfields (land previously used for industrial purpose)		

II. During the Site visit		
E&S issues	Observations / Alarm Signals / Indication	Plausibility Questions
Potential for contamination Water quality Restricted substances	• Discoloration, staining, odors, vapor, etc. • Building contaminants (e.g. asbestos)	• Are you aware of any subsurface impacts? • Has there ever been a subsurface investigation taken place at the site? • Are you aware of any subsurface remediation measures having taken place at the site? • Are you aware of any asbestos containing material at the site and has an asbestos survey ever been conducted? • What are the construction years of the buildings which will be demolished?
11. Construction Sites		
Contractors Construction Activities Environmental and Social Impact Assessment Compliance Management system Labor and Working Conditions – accidents, contractors, PPE, child labor, etc.	• Construction vehicles and workers • Dust formation • Contractors (different workwear, etc.) • PPE • Fall protection and safety barriers	• Are currently construction and/or maintenance activities ongoing at the site? • Are contractors working at the site? • Where are the construction workers accommodated? • Have all construction workers been checked for child labor? • Was an environmental impact assessment conducted prior to the construction measures? • Are the construction measures subject to permit requirements? • Are you aware of any accidents related to the construction measures?
12. Neigborhood		
Neighborhood Community H&S and Security Biodiversity, etc.	• Residential areas • Protected areas (nature protection, water protection, etc.) • Industrial areas • Water courses • Agricultural areas	• Are you aware of any complaints from the neighborhood in recent years? • Are you aware of any sensitive areas in the surrounding of the site (protected areas, residential areas, etc.)? • Have measures of ambient noise ever been conducted at the site?
13. Site Extension (Greenfield)		
Neighborhood Land Acquisition Community H&S and Security Biodiversity, etc.	• Residential areas • Protected areas (nature protection, water protection, etc.) • Water courses • Ownership structure	• Who are the owners of the surrounding areas? • What is the current use of the surrounding areas? • Are there any usage limitations applicable in the surrounding areas?

I. Social Issues / Conditions of Work	
Topic / Observations	**What Can you ask ?**
1. General situation:	Questions you can always ask:
	• Do you have a Social / HR Policy? and which elements does it include; How do you communicate it to Workers?)(– get a copy of the Policy) • *Every worker has a written contract*? • *What is the annual staff turnover?* (*i.e.* high or low fluctuation) • ask for ratio of permanent to temporary workforce, number of subcontractor firms • Workers Representation: Is there a workers committee / trade union representative ? – is an collective agreement in place?
2. Plausibility checks on Conditions of Work (e.g. if you have the feeling that sth. could be wrong at this site based on the answers to above / ESIQ entries by Client)	• Ask for a sample of employee file / sample contracts Additional Questions
Payment / Minimum Wage:	• ask for lowest wage group starting salary • check plausibility by rough calculations and try to establish if figures on salaries, number of workers make up the wage amount you find in the balance sheet.
Overtime and Payment:	• Ask how many hours a regular work week is and how much/how often overtime per month, • Plausibility check-up: - ask in the HR department / check in the balance sheet if overtime is a separate wages item, - ask how much extra do you spend for overtime payments and is this a premium rate?
Discrimination: potential indicators: • distinctly different groups of workers (e.g gender, ethnic) on site doing only certain activities; • only young workers, • only women etc… (however depends on the sector and type of work, but if you see a mix of younger and older staff and men and woman this usually is a positive sign)	• Ask in the policy addresses non-discrimination
Child Labor: unlikely that obvious to see during a normal site visit	However, If you see young faces on site: • ask if person is company staff or contractor / visitor (does company provide an apprentice scheme?- conditions?); • Q: *how do you verify the age of your workers*? *How many young workers do you have*?
Forced Labour:	• ask as part of your Financial DD, if the company has credit schemes for employees and ask about the conditions (if payback over many months or years sth. could be wrong); • If you happen to get a chance to have a look at a sample of an employee contract in the HR department and you see original ID documents in the file, then sth. is likely wrong and you should ask further why documents are retained and if it is specific to a group in the workforce (e.g. migrant workers).