

**Provincial Decentralized Autonomous
Government of Guayas
Ecuador Guayas: Resilient Rural Roads Project
P504400**

Version for Negotiations

**ENVIRONMENTAL AND SOCIAL
COMMITMENT PLAN (ESCP)**

July 16, 2024

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The Provincial Decentralized Autonomous Government of Guayas (the Borrower) will implement the Ecuador Guayas: Resilient Rural Roads Project (the Project), as set out in the Loan Agreement. The International Bank for Reconstruction and Development (the Bank) has agreed to provide financing for the Project, as set out in the referred agreement.
2. The Borrower shall ensure that the Project is carried out in accordance with the Environmental and Social Standards (ESSs) and this Environmental and Social Commitment Plan (ESCP), in a manner acceptable to the Bank. The ESCP is a part of the Loan Agreement. Unless otherwise defined in this ESCP, capitalized terms used in this ESCP have the meanings ascribed to them in the referred agreement.
3. Without limitation to the foregoing, this ESCP sets out material measures and actions that the Borrower shall carry out or cause to be carried out, including, as applicable, the timeframes of the actions and measures, institutional, staffing, training, monitoring, and reporting arrangements, and grievance management. The ESCP also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Project, all of which shall be subject to prior consultation and disclosure, consistent with the ESS, and in form and substance, and in a manner acceptable to the Bank. Once adopted, said E&S instruments may be revised from time to time with prior written agreement by the Bank.
4. As agreed by the Bank and the Borrower, this ESCP will be revised from time to time if necessary, during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to Project performance. In such circumstances, the Borrower and the Bank agree to update the ESCP to reflect these changes through an exchange of letters signed between the Bank and the Borrower, through the Project Coordinator of the Project Execution Unit (PEU). The Borrower shall promptly disclose the updated ESCP.

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
MONITORING AND REPORTING			
A	<p>REGULAR REPORTING</p> <p>Prepare and submit to the Bank regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&S instruments required under the ESCP, stakeholder engagement activities, and functioning of the grievance mechanisms.</p>	<p>Submit semiannual reports to the Bank throughout Project implementation. Submit each report to the Bank no later than 45 days after the end of each reporting period.</p>	Borrower
B	<p>INCIDENTS AND ACCIDENTS</p> <p>Promptly notify the Bank of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, including, inter alia, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and accidents that result in death, serious or multiple injury.</p> <p>Subsequently, at the Bank’s request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence. Provide sufficient detail regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and/or supervising firm, as appropriate.</p>	<p>Notify the Bank no later than 48 hours after learning of the incident or accident.</p> <p>Provide subsequent report to the Bank within a timeframe acceptable to the Bank.</p>	Borrower
C	<p>CONTRACTORS’ MONTHLY REPORTS</p> <p>Require contractors and supervising firms to provide monthly monitoring reports on ESHS performance in accordance with the metrics specified in the respective bidding documents and contracts, and submit such reports to the Bank.</p>	<p>Ensure that monthly reports are received throughout Project implementation. The Borrower shall submit the reports to the Bank upon request.</p>	Borrower
ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS			
1.1	<p>ORGANIZATIONAL STRUCTURE</p> <p>Establish and maintain the PEU, with qualified staff and resources to support management of ESHS risks and impacts of the Project including at least one full-time environmental specialist and one full-time social specialist.</p>	<p>Establish the PEU as set out in the Loan Agreement. The PEU shall remain in effect throughout the implementation of the Project.</p> <p>The environmental specialist and the social specialist shall be hired no</p>	Borrower

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY
	later than forty-five (45) days after the Effective Date and maintained throughout Project implementation.	
<p>1.2 ENVIRONMENTAL AND SOCIAL INSTRUMENTS</p> <ol style="list-style-type: none"> 1. Develop, consult, disclose, and implement a Complementary Environmental and Social Management Plan (Complementary ESMP), consistent with the requirements of the relevant ESSs, for each Project intervention. 2. Ensure that each Contractor develops and implements a Contractor’s Environmental and Social Management Plan ESMP (C-ESMP) in accordance with the relevant ESHS specifications , for the respective Project intervention. 	<ol style="list-style-type: none"> 1. Finalize the Complementary ESMP before starting the bidding process for each intervention. Once finalized, implement it throughout the execution of the respective intervention. 2. Finalize each C-ESMP before starting the respective intervention. Once finalized, implement it throughout the execution of the respective intervention. 	Borrower
<p>1.3 MANAGEMENT OF CONTRACTORS</p> <p>Incorporate the relevant aspects of the ESCP (including, but not limited to, the relevant E&S instruments, Complementary ESMPs, Labor Management Procedures, and code of conduct), into the ESHS specifications of the procurement documents and contracts with contractors and supervising firms. Thereafter ensure that the contractors and supervising firms comply and cause subcontractors to comply with the ESHS specifications of their respective contracts.</p>	<p>As part of the preparation of procurement documents and respective contracts.</p> <p>Supervise contractors throughout Project implementation.</p>	Borrower
<p>1.4 TECHNICAL ASSISTANCE</p> <p>Ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, and any other technical assistance activities under the Project are carried out in accordance with terms of reference acceptable to the Bank, and consistent with the ESSs. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p>	Throughout Project implementation.	Borrower

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY
<p>1.5 CONTINGENT EMERGENCY EARLY RESPONSE FINANCING</p> <p>a) Ensure that the CERC Manual specified in the Loan Agreement includes a description of the ESHS assessment and management arrangements including the CERC-ESMF for the implementation of the Contingent Emergency Response Part in accordance with the ESSs.</p> <p>b) Adopt any E&S instruments which may be required for activities under the Contingent Emergency Response Part of the Project, in accordance with the CERC Manual, and the ESSs, and thereafter implement the measures and actions required under said E&S instruments, within the timeframes specified in said E&S instruments.</p>	<p>a) The adoption of the CERC Manual in form and substance acceptable to the Bank is a withdrawal condition under Section III.B.1(b) of Schedule 2 of the Loan Agreement.</p> <p>b) Adopt any required E&S instrument and include it as part of the respective bidding process, if applicable, and in any case, before the carrying out of the relevant Project activities for which the E&S instrument is required. Implement the E&S instruments in accordance with their terms, throughout Project implementation.</p>	<p>Borrower</p>
<p>1.6 ACTIVITIES SUBJECT TO RETROACTIVE FINANCING</p> <p>a) Carry out an E&S compliance assessment report to confirm that activities subject to retroactive financing have been implemented in accordance with the relevant ESSs, in a manner acceptable to the Bank. The results of the compliance assessment shall be used to inform the preparation of a corrective action plan, if necessary, and also shall determine whether an activity is eligible to be financed with Loan proceeds.</p> <p>b) The Terms of Reference for this E&S compliance assessment shall be prepared in a manner acceptable to the Bank, prior to the carrying out of the assessment.</p>	<p>a) Submitting the E&S compliance assessment report in a manner acceptable to the Bank, as a condition of disbursement to access retroactive financing. The corrective action plan, if required, shall be part of the compliance assessment, and shall be implemented in accordance with its terms, within a timeframe to be agreed with the Bank.</p> <p>b) Prior to the carrying out of the assessment</p>	<p>Borrower</p>
<p>ESS 2: LABOR AND WORKING CONDITIONS</p>		

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MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
2.1	<p>LABOR MANAGEMENT PROCEDURES</p> <p>Finalize and implement the Labor Management Procedures (LMP) for the Project, including, inter alia, provisions on working conditions, management of workers relationships, occupational health and safety (including personal protective equipment, and emergency preparedness and response), code of conduct (including relating to SEA and SH), forced labor, child labor, grievance arrangements for Project workers, and applicable requirements for contractors, subcontractors, and supervising firms.</p>	Finalize the LMP no later than 60 days after the Effective Date, and thereafter implement the LMP throughout the implementation of the Project.	Borrower
2.2	<p>GRIEVANCE MECHANISM FOR PROJECT WORKERS</p> <p>Establish and operate a grievance mechanism for Project workers, as described in the LMP and consistent with ESS2.</p>	Establish grievance mechanism prior hiring Project workers and thereafter maintain and operate it throughout Project implementation.	Borrower
ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT			
3.1	<p>WASTE MANAGEMENT PLAN</p> <p>Ensure full implementation of the guidelines detailed in the Complementary ESMP and the C-ESMP for each Project intervention, in relation to the Waste Management Plan (WMP) for managing hazardous and non-hazardous wastes, in accordance with ESS3.</p>	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and applied throughout Project implementation.	Borrower
3.2	<p>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</p> <p>Incorporate resource efficiency and pollution prevention and management measures in the Complementary ESMPs and C-ESMPs, in line with ESS3 requirements.</p>	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and applied throughout project implementation.	Borrower
ESS 4: COMMUNITY HEALTH AND SAFETY			
4.1	<p>TRAFFIC AND ROAD SAFETY</p> <p>Incorporate measures to manage risks related to traffic and road safety during the execution of works, as required in the specific Complementary ESMP and C-ESMP or each intervention.</p>	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and applied throughout project implementation.	Borrower
4.2	<p>COMMUNITY HEALTH AND SAFETY</p> <p>Assess and manage specific risks and impacts to the community arising from Project activities including, but not limited to, community health risks arising from Project activities related to the arrival of vehicles and labor in the communities, noise, air pollution, spread of disease, and measures to allow safe and universal access of the population, especially the most vulnerable, to their homes, businesses, or social facilities for permanent use. Management measures will be included in the C-ESMPs to be prepared in accordance with the respective Complementary-ESMP.</p>	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and applied throughout project implementation.	Borrower

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
4.3	SEA AND SH RISKS Adopt and implement a SEA/SH Action Plan as part of the Complementary ESMPs and C-ESMPs to assess and manage the risks of SEA and SH.	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and applied throughout Project implementation.	Borrower
4.4	SECURITY MANAGEMENT Assess and implement measures to manage the security risks of the Project, including the risks of engaging security personnel to safeguard project workers, sites, assets, and activities, as set out in the Complementary ESMPs and C-ESMPs, guided by the principles of proportionality and GIIP, and by applicable law, in relation to hiring, rules of conduct, training, equipping, and monitoring of such personnel.	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and applied throughout project implementation.	Borrower
ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT			
5.1	RESETTLEMENT PLANS Finalize and implement a resettlement action plan (RAP) for each Project intervention if required by the Complementary ESMP, and in accordance with ESS5.	Finalize the respective RAP before the start of the respective works and thereafter implement the RAP, including ensuring that prior to taking possession of land and related assets, full compensation has been provided and, as appropriate, displaced persons have been resettled as set out in the respective RAP.	Borrower
5.2	GRIEVANCE MECHANISM The grievance mechanism for handling complaints and grievances related to resettlement should be described in the RAPs and SEP.	Same schedule as for 5.1 and 10, in relation to the SEP.	Borrower
ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES			
6.1	BIODIVERSITY RISKS AND IMPACTS Incorporate and implement measures and procedures to avoid and mitigate negative impacts on biodiversity and environmentally sensitive areas, especially in natural or critical habitats, consistent with ESS6 requirements. These measures and procedures will be specified in the Complementary ESMP and will be further detailed, if necessary, in the C-ESMP for each specific intervention.	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and implemented throughout Project implementation	Borrower
ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES			
Standard not relevant			
ESS 8: CULTURAL HERITAGE			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
8.1	<p>CULTURAL HERITAGE RISKS AND IMPACTS</p> <p>Conduct an assessment of the tangible and intangible cultural heritage that may be present in the areas to be intervened by Project activities, in accordance with the requirements of each Complementary ESMP and site-specific C-ESMP. If a Complementary ESMP and/or an intervention-specific C-ESMP identifies the need to develop, adopt and implement a Cultural Heritage Management Plan (CHMP), it shall be developed in accordance with the requirements of the ESS8 and as set forth in the corresponding environmental and social management plan(s).</p>	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and implemented throughout Project implementation.	Borrower
8.2	<p>CHANCE FINDS</p> <p>Include in the Complementary ESMP and C-ESMP specific to each intervention as necessary, chance finds procedures for the areas to be intervened. In addition, include clauses in construction contracts requiring civil contractors to take appropriate protective measures in the event that cultural heritage sites are discovered, including stopping construction activities if archaeological or cultural sites are encountered during construction activities.</p>	Same time frame as 1.2.1 and 1.2.2, respectively, and subsequently maintained and implemented throughout Project implementation.	Borrower
ESS 9: FINANCIAL INTERMEDIARIES			
Standard not relevant			
ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE			
10.1	<p>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION</p> <p>Prepare, consult, disclose, and implement a Stakeholder Engagement Plan (SEP) for the Project, consistent with ESS10, which will include measures to, among other things, provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner that is free from manipulation, interference, coercion, discrimination and intimidation.</p>	The SEP shall be finalized no later than 90 days after the Effective Date, and thereafter implemented throughout the implementation of the Project.	Borrower
10.2	<p>PROJECT GRIEVANCE MECHANISM</p> <p>Establish, disclose, maintain, and operate an accessible grievance mechanism, to receive and facilitate resolution of concerns and grievances in relation to the Project, promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all Project-affected parties, at no cost and without retribution, including concerns and grievances filed anonymously, in a manner consistent with ESS10.</p>	The grievance mechanism shall be operational and adequately resourced within the same timeframe as 10.1 and remain in place throughout Project implementation.	Borrower

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
	The grievance mechanism shall be equipped to receive, register, and facilitate the resolution of SEA/SH complaints, including through the referral of survivors to relevant gender-based violence service providers, all in a safe, confidential, and survivor-centered manner.		
CAPACITY SUPPORT			
CS1	<p>Develop a Capacity Development Plan (CDP) to ensure adequate capacity of the PEU and Project workers during Project preparation and implementation, prioritizing a strong training plan for the PEU with corresponding resources focused on the first year of implementation. The CDP may include, among other things, the following:</p> <ul style="list-style-type: none"> • ESSs • Preparation of environmental and social instruments in accordance with the relevant ESSs (Complementary ESMPs, C-ESMPs, SEP, RAPs, LMP). • Environmental and social assessments according to the ESSs and local legislation. • Incident and accident management. • Reporting frequency and preparation of E&S reports. • Addressing community health and safety under ESS4. 	<p>Finalize the CDP as early as possible during Project preparation and no later than 90 days after the Effective Date. Once finalized, implement in accordance with its terms.</p>	Borrower
CS2	Provide training to Project workers on occupational health and safety, emergency prevention, preparedness and response mechanisms, codes of conduct established in the Complementary ESMPs, C-ESMPs, and grievance mechanisms indicated in the CDP.	Same term as 1.2.2 and during the execution of the Project.	Borrower