



# Appraisal Environmental and Social Review Summary

## Appraisal Stage

### **(ESRS Appraisal Stage)**

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**I. BASIC INFORMATION**

**A. Basic Operation Data**

Operation ID	Product	Operation Acronym	Approval Fiscal Year
P180688	Investment Project Financing (IPF)	Increase Resilience of Ecuador's Schools	2024
Operation Name	Strengthening the Resilience of Ecuadorian Schools Project		
Country/Region Code	Beneficiary country/countries (borrower, recipient)	Region	Practice Area (Lead)
Ecuador	Ecuador	LATIN AMERICA AND CARIBBEAN	Education
Borrower(s)	Implementing Agency(ies)	Estimated Appraisal Date	Estimated Board Date
Republic of Ecuador	Ministry of Education	22-Aug-2023	05-Oct-2023
Estimated Decision Review Date	Total Project Cost		
	190,475,000.00		

**Proposed Development Objective**

The objective of the Project is to improve the safety, resilience, and quality of physical learning environments and prepare preschool students for learning in selected public schools, as well as to respond promptly and effectively in case of an Eligible Crisis or Emergency.

**B. Is the operation being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?**

No

**C. Summary Description of Proposed Project Activities**

*[Description imported from the PAD Data Sheet in the Portal providing information about the key aspects and components/sub-components of the project]*

The proposed Project seeks to strengthen the safety, resilience, and quality of school infrastructure across education levels to address Ecuador's high vulnerability to climate risks, as well as to make it inclusive, climate and seismic resilient, energy-efficient, healthy, and learning-centered. It will also support activities to boost students' readiness for



learning through teacher training on new pedagogical models and the new competency-based curriculum in ECE and their implementation, as well as improvements of the structural quality, equipment, and resources in ECE classrooms. To further support student readiness, it will support the creation of library networks for basic education in marginalized rural areas, and complementary technical activities to assess and inform the implementation of activities to equip ECE and basic education students to learn. To ensure that these interventions are adequately implemented, the Project will also support project management activities. In line with Ecuador's high vulnerability to climate-induced risks, a Contingent Emergency Response Component (CERC) will also be included to allow for rapid reallocation of project funds in the event of an eligible natural disaster or crisis. The Project will be comprised of four components. The first component will support holistic investments in school infrastructure to increase the safety and resilience of schools to climate events and to correct climate-induced damages; the adaptation and rehabilitation of existing schools in urban and rural areas of low exposure to climate risks to meet quality local and international quality standards; the replacement of damaged infrastructure in areas of limited accessibility and high security risk; and the technical design, construction, and/or acquisition of equipment to ensure the operationalization of the adapted and rehabilitated schools. Component 2 would support activities to boost student readiness for learning by combining investments to improve the quality of children-teacher interactions in preschool, including the adaptation of physical environments and enhancing teachers' capacity to implement a new competency-based curriculum; the creation of community-based libraries; and complementary technical studies. Component 3 would ensure the appropriate management and monitoring of the Project. Lastly, and considering Ecuador's high vulnerability to climate-induced risks, a Contingent Emergency Response Component with zero allocation will be included to allow for rapid reallocation of project funds in the event of an eligible natural disaster or crisis that has caused or is likely to imminently cause major adverse economic and/or social impacts.

#### D. Environmental and Social Overview

##### D.1 Overview of Environmental and Social Project Settings

*[Description of key features relevant to the operation's environmental and social risks and opportunities (e.g., whether the project is nationwide or regional in scope, urban/rural, in an FCV context, presence of Indigenous Peoples or other minorities, involves associated facilities, high-biodiversity settings, etc.) – Max. character limit 10,000]*

The scope of the proposed Project is nationwide. With a total area of 283,561 km<sup>2</sup>, Ecuador lies between latitudes 2°N and 5°S. Ecuador has four geographic regions: (i) The Coast, which is the western region bordering the Pacific Ocean and includes the western provinces of the Andean mountain range—seven provinces (ii) The Sierra, which consists of the provinces of the Andean and inter-Andean highlands—ten provinces, (iii) The Amazon, formed by the provinces of the Amazon jungle—six provinces, and (iv) The Insular Region that includes the Galápagos Islands, about 1,000 kilometers west of the continent in the Pacific Ocean.

The country's high indices of geographical and biological diversity are mirrored by a high degree of socio-cultural diversity. Ecuador's Constitution recognizes the plurinational and multicultural nature of its heterogenous population, and according to the last population census for which results are available (in 2010), the majority of the Ecuadorian population self-identified as Mestizo (72 percent), White (6.1 percent) or Other (0.4 percent), whereas 21 percent of the population self-identified as part of a minority ethnic group: Indigenous (7 percent), Afro-descendant (7.1 percent), or Montubio (7.4 percent). Indigenous peoples (IPs) live predominantly in rural areas in the highlands and in the Amazon (80 percent), Montubios along the coast, and three-quarters of Afro-Ecuadorians in urban areas. It is well documented that where these minority groups reside, access to quality public education is limited; this constitutes one among several dimensions of their relative vulnerability.



Ecuador is among the 10 countries with the highest natural disaster risk in the region and among the top 20 in the world according to the World Risk Index report from 2022. This is due to its exposure to geological and hydrometeorological hazards such as earthquakes, volcanic eruptions, floods, and droughts. Nearly the entire Ecuadorian urban population residing in coastal and mountainous areas suffers from increased susceptibility to phenomena like El Niño, which causes floods and landslides, and La Niña, which causes droughts. Climate extremes are affecting the population and economy, and with climate change projected to intensify such events, the incidence of natural disasters in the country is expected to rise. The earthquake of March 18, 2023, together with heavy rains, has led to extensive damage to critical public infrastructure, including schools.

As a result of an unprecedented Venezuelan exodus in recent years, an estimated 1.9 million Venezuelans passed through Ecuador between 2016 and mid-2021. Most continued their journey to countries further south, although around 430,000 chose to settle in Ecuador. The search for better conditions, integration, options for regularization, personal connections, and economic opportunities seem to be the main pull factors that influence the decision of Venezuelans to remain in Ecuador. By end-2021 the migrant population represented 2.3 percent of the country’s population, causing an impact of less than one percentage point of GDP. Despite its limited fiscal impact, the massive arrival of people from Venezuela in such a short period has posed numerous difficulties for Ecuador’s institutional, legal, and service delivery structures, a challenge that continues to this day. In addition to providing a humanitarian reception, the Government of Ecuador (GoE) has had to provide for migrants’ and refugees’ needs and livelihoods, ranging from social assistance to health, housing, and education.

## **D.2 Overview of Borrower’s Institutional Capacity for Managing Environmental and Social Risks and Impacts**

*[Description of Borrower’s capacity (i.e., prior performance under the Safeguard Policies or ESF, experience applying E&S policies of IFIs, Environmental and social unit/staff already in place) and willingness to manage risks and impacts and of provisions planned or required to have capabilities in place, along with the needs for enhanced support to the Borrower – Max. character limit 10,000]*

The proposed Project will be prepared and implemented by the Ecuadorian Ministry of Education (MINEDUC). To properly address E&S management issues in its previous projects supported by international development agencies, the Ministry formed an environmental and social team consisting of four professionals, all of whom are based in the Ministry’s National Infrastructure Directorate: one environmental specialist, one social specialist, one environmental analyst and an environmental assistant. This team has prior experience managing World Bank–financed projects, but not under the ESF; at the same time it has gained experience executing projects financed by institutions aligned with international environmental and social standards, such as the IDB and CAF. Moreover, its work has been complemented at the subnational level by eight E&S technical specialists (one per each of the country’s “planning zones”) who work to monitor relevant activities in decentralized fashion.

MINEDUC’s current E&S staff who are centrally based have developed two model environmental and social management plans and related tools that allow the entire team to identify impacts and risks in the design and construction of educational facilities at various scales, to propose mitigation measures, to establish and enforce requirements for contractors, and to address and resolve grievances. Training sessions addressing MINEDUC’s model environmental and social management plans have been delivered to subnational technical specialists (also referred as E&S “delegates”) and MINEDUC’s contractors by the E&S national team. The focus of these trainings were on the



specific ESMP applicable to the projects where E&S delegates and contractors were in charge, alongside orientations and environmental and social issues awareness sessions.

Given the relative lack of experience on the part of the E&S national team with the ESF, as well as to coordinate basic project implementation actions, a Project Implementation Unit (PIU) will be formed and subsequently maintained within the Ministry’s General Planning Coordination (Coordinación General de Planificación). The establishment of the Unit will require the hiring or designation of one (1) full-time Environmental Specialist and one (1) full-time Social Specialist during project implementation, in addition to the aforesaid four professionals already in place. These two centrally based specialists will be able to count on the eight zone-based E&S technical specialists as implementing partners, given their important role in the oversight of the E&S management aspects of project-supported activities at the zone and district levels.

To the extent it is necessary, the Bank will provide focused training to the central and decentralized E&S specialists to help them identify and manage E&S risks and impacts relevant to the proposed project activities in accordance with ESS requirements. In addition, to build adequate institutional capacity, the Bank task team will work with the implementing agency to develop a training plan during the early stages of project implementation on (i) E&S management approaches and tools; (ii) supervision of Environmental and Social Commitment Plan (ESCP) requirements; (iii) management of potential sexual exploitation and abuse and sexual harassment (SEA-SH) risks; and (iv) monitoring of E&S requirements and performance of the project.

## II. SUMMARY OF ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

### A. Environmental and Social Risk Classification (ESRC)

Moderate

#### A.1 Environmental Risk Rating

Moderate

*[Summary of key factors contributing to risk rating, in accordance with the ES Directive and the Technical Note on Screening and Risk Classification under the ESF – Max. character limit 4,000]*

The environmental risk rating is considered Moderate due to the anticipated risks and impacts derived from the execution of activities under Component 1 such as improvements to classrooms and water, sanitation, and hygiene (WASH) facilities, construction of new WASH facilities, classrooms, one new school in Quito’s outskirts and the replacement of damaged infrastructure. Overall, due to the nature of the proposed activities, the associated impacts are expected to be predictable, temporary, reversible, low in magnitude, site-specific, and with low probability of major adverse effects to human health or the environment; in addition, such potential risks and impacts can be easily mitigated in a predictable manner. Specific technical details related to infrastructure activities, including the location, type, and collective scale/magnitude will be further detailed during project preparation. Some of the key potential impacts may include: (i) nuisance related to dust generation, vibration, noise and odors; (ii) generation, management and disposal of non-hazardous and hazardous solid waste, residual construction materials waste, and potential hazardous materials from demolitions; (iii) generation and discharge of wastewater from civil works; (iv) disposal from water and sanitation connections; (v) health and safety risks to the project workforce and local communities in the surrounding areas of the project activities; and (vii) direct and indirect impacts from natural hazards that may occur in the selected lots and surrounding areas. Such impacts will be addressed through proper screening and



assessment of the educational facilities that are eligible for intervention, in observance of factors of E&S sensitivity for the construction work to be undertaken. MINEDUC has developed and is implementing a comprehensive Environmental and Social Management Plan (ESMP) which includes standard measures to manage E&S risks and impacts appropriate to the nature and scale of different project activities and civil works considered under Component 1. MINEDUC will rely on this existing ESMP and complement it as necessary so as to align E&S issues management in the project with ESF requirements. To do this, its in-house E&S team working at the central level will enhance its existing ESMP considering the WB's ESF with the guidance of the WB's E&S team. MINEDUC's E&S team will also develop an Exclusion List aiming to screen out from being included and financed under the Project any Substantial or High risk activities with the potential to generate high risks/impacts, such as physical and/or economic displacement, environmentally harmful land-use changes like deforestation, or significant adverse impacts on any type of natural habitats or cultural resources. MINEDUC has successfully implemented similar projects under IDB and CAF E&S requirements and WB E&S safeguards policies. As a result, its centrally based E&S staff is experienced and capable of adjusting its existing ESMP to comply with the WB's ESF requirements. Just the same, the Bank will support MINEDUC during preparation and the early stages of implementation to ensure that the PIU achieves adequate ESF-related knowledge and E&S management performance in accordance with the requirements of the relevant ESSs. For the above-mentioned reasons, and making use of the precautionary principle, the task team has assessed the environmental risk as Moderate.

## A.2 Social Risk Rating

Moderate

*[Summary of key factors contributing to risk rating, in accordance with the ES Directive and the Technical Note on Screening and Risk Classification under the ESF – Max. character limit 4,000]*

The social risk classification for the project is Moderate. Although the revised project design includes new construction in the case of the “Ciudad Jardin” school in the outskirts of Quito, refurbishment, adaptation and equipping works re: the educational facilities selected for inclusion in the project will predominate. This will require specific management instruments oriented to environmental and social impact mitigation and risk management, labor management, community health and safety, land management (but solely in terms of follow-through on the transfer of lands from other public entities to MINEDUC), and attention to vulnerable groups. These vulnerable groups include indigenous peoples, Afro-Ecuadorians and Montubios (collectively known as “IPAM”), disabled people, and migrants. In terms of impacts prevention, mitigation and management, the Borrower is expected to make extensive use of the existing management plan, risk screening matrices, and other tools developed for other projects MINEDUC has recently implemented (see the ESS1 section below), which greatly reduces the overall level of risk. Whatever complementary measures are required, will be specified in an enhanced ESMP that complies with the relevant ESF requirements (from here forward, the “ESF ESMP”), which the Borrower will prepare, consult on, adopt and disclose as a condition of disbursement for any activities under C1 or C2. This is appropriate for an operation with a Moderate risk profile, for the following reasons: (i) the Project is not expected to require any acquisition of land resulting in physical and/or economic displacement, and there also will not be any restrictions in access to land or natural resources having adverse impacts on communities who are dependent on them; (ii) nearly all of the works will be small-scale and carried out within the existing footprints of pre-established educational facilities (though some of them in more inaccessible areas may be makeshift or temporary) and certain activities—such as the construction of sanitary facilities for women or girls only, or that provide access to the disabled—will have positive, inclusion-oriented impacts; (iii) in terms of labor management, the main risks for project workers, particularly contractors and subcontractors, will be managed both through the application of the relevant national regulations and the integration of relevant additional measures in the ESF ESMP; and (iv) no significant risks are foreseen for IPAM, given that, owing



to a very recent shift in responsibilities within the State apparatus, no civil works under C1 will be carried out in public schools within their territories. At the same time, IPAM are expected to be involved in the equipping of schools and the implementation of new pedagogical models, teacher training, and guidelines development contemplated under C2, and appropriate measures for considering IPAM issues in connection with these activities will be incorporated into the ESF ESMP. In terms of community health and safety, considering that the project will also involve works in urban and peri-urban areas, and that Ecuador has been undergoing a period of economic and political distress, the machinery and equipment needed is at risk of theft or damage, which may require the contracting of private security personnel to guard it. This personnel must be adequately trained in the proportionate use of force and respect for the rights of surrounding community members, as per ESS4. Finally, for all project components (as technical assistance, or TA, activities are also included as part of C2), there is a need to adequately manage communication flows and consultation dynamics involving different sets of stakeholders, requiring the implementation of a final version of the Stakeholder Engagement Plan (SEP) prepared as a draft prior to appraisal.

**A.3 Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) Risk Rating** Moderate

*[Summary of key factors contributing to risk rating. This attribute is only for the internal version of the download document and not a part of the disclosable version – Max. character limit 8,000]*

The SEA/SH Risk Rating remains Moderate at appraisal. Risks related to sexual exploitation and abuse (SEA) and/or sexual harassment (SH) have been identified as potentially cross-cutting in this project, given that under C1, there will be civil works carried out in a variety of locations, likely involving different sets of contractors. During project preparation the risks will be addressed via (i) agreement on appropriate measures (worker codes of conduct, etc.) to be incorporated into the relevant documents (i.e. final SEP, ESF ESMP); (ii) confirmation of PIU willingness to socialize the issues involved among potential beneficiaries; and (iii) PIU capacity for addressing any incidents that may come up directly and appropriately.

**B. Environment and Social Standards (ESS) that Apply to the Activities Being Considered**

**B.1 Relevance of Environmental and Social Standards**

**ESS1 - Assessment and Management of Environmental and Social Risks and Impacts** Relevant

*[Explanation - Max. character limit 10,000]*

This Standard is relevant. MINEDUC’s environmental and social team has developed ESMPs for similar projects, including a methodology which identifies all civil works activities relevant for the construction of educational facilities and analyzes their E&S impacts. MINEDUC uses an E&S matrix that allows the team to identify main impacts, positive and negative, and identifies when their proposed management plans will be implemented according to the project schedule and phases: i) construction and maintenance, ii) closure and iii) operation. For instance, MINEDUC’s implementation of its existing ESMP for rehabilitation and refurbishing activities begins with the E&S impact matrix which in a similar existing project identified and analyzed at least 40 impacts for environmental and social components, in which 4 were positive and 36 were negative. From this assessment, there were no high or substantial negative impacts; all of them (36) turned out to be moderate or low impacts and risks (25% and 65% of the analyzed impacts respectively). This exercise also identified E&S management plans and its main activities according the different project phases: i) Impacts Prevention and Mitigation Plan, ii) Contingency and Emergency Plan, iii) Environmental Education and Training Plan, iv) Waste Management Plan, v) Community Relations Management Plan,

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vi) rehabilitation of affected areas, vii) Closure Plans, viii) Monitoring and Follow-Up Plan, and ix) Health and Safety Management Plan. MINEDUC’s E&S team also put together a complementary document for contractors addressing the environmental and social management for construction works and checklist instruments for them to use as guidance. These documents highlight the status of the lands used (occupation and legal status) for the schools and E&S legal requirements; in the case of this Project, all lands are State owned or are in the last step of the titling process in MINEDUC’s favor (see ESS5 for further reference). They also make clear that the contractor is required to have an environmental and a health & safety specialist at the worksite and to comply with MINEDUC’s ESMP, including: i) the above-mentioned nine E&S management plans, ii) a code of conduct for workers, iii) the socialization of the scope of works with nearby communities, iv) implementation of a grievance mechanism, and v) a reporting scheme for the implementation of the ESMP. It was also noted that the construction of the only new school proposed as part of the project, Ciudad Jardin school, has already a site specific ESMP that will be enhanced considering applicable WB’s ESS. While the scope and locations of many infrastructure investment activities under C1 have been defined, in several cases they have not. As the residual investments could be carried out anywhere in the different Ecuadorian regions, the project will take as a basis MINEDUC’s existing ESMP, enhance and complement its approach, scope and management measures, including capacity building measures not just for contractors but also for MINEDUC’s E&S teams at different levels. This new enhanced ESMP will be based on MINEDUC’s experience on previous infrastructure projects implemented with other DFIs and in alignment with the ESF. This “ESF ESMP” will be developed and disclosed prior to disbursement of project funds for any activities under C1 or C2, and it will include an Exclusion List to ensure E&S risks of the potential project interventions are Low to Moderate, screening out activities that are both High and Substantial risk. The ESF ESMP will include measures to ensure the TORs for all anticipated TA activities include relevant ESF provisions according to the requirements set out in paragraphs 14 to 18 of ESS1, as relevant, appropriate to the nature of the risks and impacts. Besides TORs, work plans or other documents defining the scope and outputs of technical assistance activities will be drafted so that the advice and other support provided is consistent with ESSs 1 to 10. Additionally, technical designs for works will take into account the requirements of the ESSs, including on energy efficiency, climate adaptation and resilience, and universal access. For Component 4 (the “CERC”), the project will prepare and adopt a manual that lays out the procedures and requirements to comply with the ESF, which will include the preparation of a CERC-specific ESMF, once it has been determined that the component will be activated. In line with the WB’s CERC Guidance (October 2017), the CERC Manual and accompanying ESMF must be completed prior to any emergency disbursements, as a disbursement condition. The ESCP includes all necessary actions and measures that the Borrower will need to undertake during preparation and implementation, their timeframes, and M&E arrangements. The draft ESCP will be disclosed by MINEDUC and the Bank prior to Appraisal, while a negotiated version will be disclosed and as part of the Loan Agreement. Capacity strengthening measures for the PIU will be reflected in detail in the Project’s ESCP. During project preparation the Bank will assess the capacity of the PIU to manage the E&S issues foreseen to be addressed throughout Project implementation in accordance with the ESSs.

**ESS10 - Stakeholder Engagement and Information Disclosure**

Relevant

*[Explanation - Max. character limit 10,000]*

This Standard is relevant. Most of the project’s financing is dedicated to the execution of infrastructure works and the provision of equipment, but under both C1 and C2 these activities will mainly be small-scale and highly localized, taking place in relation to groups or sets of pre-identified schools. The process of carrying out and delivering these works, and of finalizing the selection of participating schools, will require straightforward yet well-structured forms of





stakeholder consultation and participation, as well as an adequate level of communication with zonal and district governments, the local educational community (teachers, parents, students) benefiting from the interventions, and the general public. Moreover, proper engagement with ever-broadening circles of the educational community in Ecuador is required in the case of the “softer” activities related to curricular reforms and educational quality improvements contemplated under C2. While these reforms and improvements have no doubt been informed by the latest pedagogical approaches, models, and standards, soliciting feedback on them from expert educators to ordinary parents could help to determine the extent to which they’re likely to succeed. For this component, IPAM, migrants, people with disabilities, LGBTQI+ people, and other vulnerable groups are among those whose feedback would be important, requiring the adoption and implementation of differentiated engagement approaches for them, which will be detailed in the SEP. Appropriate communications and active management of expectations among beneficiary populations, which includes functional, credible, and accessible mechanisms for stakeholders to provide feedback and register complaints, is essential. To ensure an adequate stakeholder engagement process in all these cases, MINEDUC has prepared, adopted and disclosed a draft Stakeholder Engagement Plan (SEP) prior to project appraisal. This SEP includes measures for managing communications and engagement activities regarding the scope of school-based physical interventions on one hand, and curricular reforms on the other. The SEP will be consulted on following Appraisal, to solicit feedback from project stakeholders (including potential beneficiaries, vulnerable groups, and IPAM) on the proposed strategies for their participation. Based on the results of this consultation, the Borrower will update, adopt, and disclose the final SEP within sixty (60) days after the Effective Date of the Loan Agreement. A project-level Grievance Mechanism (GM) will be established and, during implementation, managed and monitored by the social (or socio-environmental) specialist to be designated or hired to work as part of the PIU. The details on how the GM is to function are described in the SEP. Following Appraisal, MINEDUC will also prepare, consult on, and disclose an ESMP that has been enhanced in accordance with the relevant ESF requirements, to include a description of E&S risks and possible impacts related to each project activity, and the corresponding E&S management measures. The development of this document and its associated tools and checklists will be a condition of disbursement of project funds for any activities under C1 or C2.

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**ESS2 - Labor and Working Conditions**

Relevant

*[Explanation - Max. character limit 10,000]*

This Standard is relevant. The use of Project Workers is required for the execution of the various project activities, and therefore they need to be properly managed. The types of workers that are likely to be involved include Direct (for the project PIU) and Contracted. The use of community workers is not foreseen given the type of Project activities, including constructions, adaptations and refurbishments for school structures under C1 and C2. Given the nature of the interventions also, no labor influx is foreseen. In Ecuador, labor regulations are quite solid and have extensive regulations for managing labor and health and safety issues. There are also several regulatory bodies, which, depending on the type of labor relationship, establish a set of rights and obligations for workers and employers. However, there are some differences between the national labor regulations and the requirements of ESS2 in relation to: (i) the lack of a requirement for all Project workers to have their terms and conditions set out in writing, which can limit the ability of some workers to understand the terms and conditions of employment; (ii) weak enforcement of legal requirements addressing (a) nondiscrimination and equal opportunity, in particular for women, minorities and migrant workers, (b) child labor and forced labor, and (c) OHS standards in the workplace; (iii) challenges for workers seeking to form workers’ organizations and bargain collectively; (iv) the lack of specific legislation that addresses the rights and obligations of community workers; (v) the lack of requirements for employers to review the labor



management systems put in place by primary suppliers and contractors; and (vi) the lack of a requirement for employers to establish a grievance mechanism for workers. Construction will be carried out with local contractors and subcontractors according to local labor regulations and the requirements of ESS2 for Contracted Workers. As part of its existing ESMP, MINEDUC has developed a Health and Safety Plan (HSP) where H&S impacts have been identified and management measures are proposed with the aim to protect the workers' health and respect their rights in accordance with the provisions of the Ministry of Labor and the Ecuadorian Social Security Institute. The existing HSP includes, among other topics, identifying risk areas, use of personal protective equipment (PPE), accidents prevention and registration, internal regulation for H&S, provision of fresh water for workers, protection against COVID-19, asbestos management, and SH/SEA protocols. Each of the management measures have identified relevant Key Performance Indicators, registries or evidence for compliance and deadlines. Before MINEDUC's ESF ESMP can be considered finalized, its labor-related sections will be enhanced to specify risks and impacts associated with labor issues considered under ESS2 that are not reflected in the current ESMP, as well as measures to mitigate such risks and impacts. This will essentially constitute the Project's Labor Management Procedures (LMPs). The ESMP will also incorporate an expanded checklist of all labor issues to be included in bidding documents for both contractors and supervisors, and key indicators to report on these issues as part of the Ministry's monitoring and reporting responsibilities before the Bank.

**ESS3 - Resource Efficiency and Pollution Prevention and Management**

Relevant

*[Explanation - Max. character limit 10,000]*

This Standard is relevant. Under Component 1, "Resilient, Inclusive, and learning-centered School Infrastructure", the project will finance civil works (adaptation, refurbishment, replacement and construction). Project activities and civil works investments are expected to be sources of pollution, emissions (including GHGs), and users of resources as considered by ESS3. The Project will not include the acquisition or disposal of electronic waste, therefore management measures are not included for them. The types of potential pollution sources are minimal and include construction waste, runoff from construction sites and from civil works activities, use of materials, including hazardous materials for construction, such as asbestos, and petroleum-based products for vehicles, and air pollution from operation of vehicles. Hazardous materials will be responsibly managed and disposed of according to its dedicated management plan. MINEDUC's existing ESMP defines institutional responsibilities and guide the preparation of site-specific management plans, including monitoring and contractor's capacity-building regarding pollution prevention and emergency incident response. The Project's pollution prevention and management response include the following six aspects as part of the ESF ESMP: (i) vegetation and soil, soil removal and clearance of vegetation may occur from potential rehabilitation of abandoned areas of the school and from upgrading electrical and sanitary facilities; all construction material needed for the infrastructure work (sand, stones, timber, etc.) will be obtained from licensed quarries and certified timber suppliers. (ii) waste, construction waste will include mostly waste from excavated soil and debris and hazardous waste such as hydrocarbon oils from maintenance activities of construction machinery and vehicles. Any waste generated by Project activities will be disposed according to national regulations, GIIP and the WBG's EHS Guidelines. Both construction material and wastes must be properly classified and labeled according to its hazard's characteristics. Construction material and waste must be temporarily stored with proper pollution prevention measures (for example, containment for spills prevention). In the event that special handling and disposal of materials and wastes in general are required, the ESF ESMP will include measures for the management of hazardous material. A Waste Management Plan for Civil Works will be part in the ESF-ESMP. The management of domestic waste, domestic wastewater and by products resulting from their treatment shall be managed in accordance with national regulations

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and international good practices, always preventing any discharge of untreated waste or effluents into the soil or bodies of water. (iii) pollution, the Project design is not expected to imply significant potential for air pollution, disturbance by noise, or other forms of pollution and hazardous materials, but identified impacts and risks generated during the construction phase from the use of vehicles and construction activities are included in the existing ESMP. The Project design will be geared to incorporate best practices, including WBG EHS Guidelines, to reduce discharge and waste. Regarding hazardous materials, according to the available information it is foreseen that the Project will be a generator of these material, mainly resulting from civil works and its supporting activities; therefore, general measures to well manage it are included in the existing ESMP and will be improved in the ESF ESMP to ensure minimization of adverse impacts on human health and the environment including proper storage, handling, use, and disposal of hazardous, flammable or potentially contaminating wastes. It is important to mention that all waste must be handled, transported and disposed of or treated by entities authorized by the respective environmental authority. (iv) efficiency measures, project investments will promote climate resilient and energy efficient schools. The interventions contemplate the implementation of structures that allow constructive advantages such as sustainable manufacturing, design flexibility, speed of installation, orientation, proper ventilation, and low cost; (v) water use; activities under the Project will include the installation of new WASH facilities, as such, the Borrower will adopt measures, to the extend technically and financially feasible, to avoid or minimize water usage. In all cases in which MINEDUC shall provide drinking water, it will ensure that the catchment sources hold the necessary administrative and environmental permits. MINEDUC will adopt measures, to the extend technically and financially feasible, to avoid or minimize water usage. (vi) energy efficiency; the Project will finance civil works demonstrating savings in terms of energy and energy saving in the materials used. The construction materials market in Ecuador may vary in terms of quality and compliance with environmental requirements, in line with local legal requirements and the ESF. The PIU, through proper execution of the Project's E&S instruments, shall ensure that the construction materials to be procured and used consider the stated requirements. The ESF ESMP will be expected to include tools for the contractors to identify if there is any preexisting environmental liability in the project area that need to be mitigated as part of the construction activities.

**ESS4 - Community Health and Safety**

Relevant

*[Explanation - Max. character limit 10,000]*

This Standard is relevant. Some of the proposed activities may expose the school community to health and safety risks. Foreseen risks and impacts include potential accidents derived from increased traffic surrounding the intervened schools and the increase of dust in the school's surroundings. Some impacts from civil works that may cause discomfort to local communities may include air emissions and odors, mismanagement of hazardous materials, roads closure, traffic disruptions, poor effluents disposal or treatment, among others. Engineering designs will consider disaster risk, universal access, and safety of materials to be used, among other considerations under ESS4 requirements. Improvements in infrastructure would seek to ensure female health and safety, including through improved design of toilets and bathrooms, with separate and secure spaces for girls and boys. Proper protocols would also be implemented to avoid and reduce risk exposure to forms of Gender-Based Violence (GBV) such as SEA/SH for children and workers during civil works. To ensure accessibility for all, works will comply with the guidelines issued by the Consejo Nacional para la Igualdad de Discapacidades (CONADIS), which seek to ensure accessibility for persons with disabilities and/or limited mobility. The ESF ESMP will identify and lay out generic measures to minimize community risks to these and other issues to be identified and assessed during preparation, while site-specific planning will confirm relevant issues and include more detailed management measures. Among the expected specific



measures to address community health and safety, the ESF ESMP will include pedestrian safety, as well as requirements for the adoption of signage and safety barriers in or near construction zones and safe storage arrangements for construction materials, and equipment, measures to avoid the spreading of COVID-19 and other potential infectious diseases, and SEA-SH risk management procedures. The ESF ESMP will provide measures to manage risks and impacts due to noise, dust and vibration resulting from project activities during construction work. Additionally, the ESF ESMP will include specific measures to reduce the impacts of these activities, as necessary, to ensure compliance with this ESS. The use of private security forces is foreseen, as construction sites will have to hire private security services to safeguard materials and equipment. The participation of public forces is not foreseen. The ESF ESMP will contextualize relevant information regarding crime and violence in the intervention areas and assess if additional security support and safety measures are necessary to protect workers and communities. The ESCP and the ESF ESMP specify requirements to carry out security risk assessments to determine the scope of participation of private security forces, identify relevant Codes of Conduct, and establish procedures to be followed in cases of allegations of SEA/SH. MINEDUC, together with the Bank, will ensure that the Life and Fire Safety considerations established in the Bank note “Implementations of the Bank’s Life and Fire Safety Requirements for Building Accessible to the Public” are complied with and implemented accordingly.

**ESS5 - Land Acquisition, Restrictions on Land Use and Involuntary Resettlement**

Not Currently Relevant

*[Explanation - Max. character limit 10,000]*

Based on the information currently available, this Standard is not relevant. The construction and rehabilitation of school structures to take place under C1, and the adaptation of school structures to take place under C1 or C2, will all be highly localized and small-scale in nature, and therefore easily mitigated and managed from both a social and environmental point of view. With respect to one new school to be built in the Ciudad Jardin sector, the works involved will take place on lands already owned and managed by MINEDUC, and without any informal or formal occupants. The relevant interventions will otherwise take place within the footprints of existing schools, for the adaptation and rehabilitation activities. Where “escuelas campamentos” have been damaged by climate change–related impacts and require repair or replacement by prefabricated structures, most of the lands involved are also owned by MINEDUC and in those few cases where control of the lands is in the process of being transferred from other public entities to the Ministry, the relevant specialist(s) in the PIU will conduct due diligence to confirm that the process has been satisfactorily completed before the contractors involved undertake any works. This will be described in the POM for the project. Also, all lands being transferred into the Ministry’s hands will be screened prior to the start of civil works to ensure that MINEDUC has title to the land and the land is free from any encumbrances (i.e. squatting or encroaching) to ensure the transfer process does not result in any physical and/or economic displacement, including that which could impact local livelihoods. In fact, any examples of such displacement will be screened out via application of the project’s Exclusion List.

**ESS6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources**

Not Currently Relevant

*[Explanation - Max. character limit 10,000]*

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Based on the currently available information, this Standard is not relevant as works will be carried out within the footprint of existing schools. The only school slated for construction is located in the outskirts of Quito urban area. Also, interventions in protected areas will be included in the Exclusion List.

**ESS7 - Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities**

Relevant

*[Explanation - Max. character limit 10,000]*

This Standard is relevant. As it happens, none of the standing schools that will be refurbished, the new facilities that will be constructed within existing schools, or the temporary schools that will be replaced by prefabricated structures, and the schools whose equipment will be upgraded are located within formally designated indigenous territories. In February 2023, the national agenda related to bilingual, inter-cultural education that used to be handled by MINEDUC became part of the mandate of a new government agency, the Bilingual Intercultural Education Secretariat (Secretaría de Educación Intercultural Biligüe). This includes the construction and/or renovation of schools in areas of the country where IPAM are concentrated. And yet, Ecuador is a multi-cultural, multi-lingual country with a notable presence of indigenous peoples and other ethnic minorities. A large majority of the population living in or near the areas targeted by the Project are indigenous, both in the Andes (the central Sierra region) and in the Amazon. A smaller proportion are Afro-descendants or Montubios, a mestizo ethnic group with rural roots whose members are scattered across the entire Ecuadorian coast. Given that C1 works will be carried out in schools that have the potential to be located anywhere in the country, it is distinctly possible that IPAM minority students will be scattered among the mestizo majority. The Ministry already plans to provide for the needs of such minority students, such as by providing for signage in multiple languages. Moreover, the new pedagogical models implementation, teacher training, and guidelines development activities that are planned as part of C2 should generate benefits for all public school students, particularly those in early childhood education (ECE). The development of guidelines to train teachers to mitigate students' psychosocial risks that is part of Subcomponent 2.3, for example, will have universal applications, regardless of racial or ethnic background. As part of its preparation, the ESF ESMP will provide relevant information on the characteristics of IPAM participating in the project, so as to propose relevant measures that allow them to benefit from the proposed interventions in a culturally appropriate way, while also avoiding, or outright excluding, the possibility of adverse impacts on them. The existing ESMP, through the "Programas de Relacionamento con Comunidades Indígenas" (PRCI), covers: (i) IPs identification using ESS7 criteria; (ii) mapping of key IP stakeholders and representatives; (iii) disclosure of information related to projects, application of the ESMP itself, codes of conduct and the grievance mechanism; (iv) using native languages for the provision of project-based information; and (v) the use of IP workers and services. However, the "soft activities" considered under C2, such as activities to boost student readiness for learning through investments to improve the quality of children-teacher interactions in preschool; enhancing teachers' capacity to implement a new competency-based curriculum; the creation of community-based libraries; and complementary technical studies are not covered by the PRCI, thereby requiring an evaluation, post-appraisal, of the need for an expanded strategy to engage IPAM stakeholders regarding these soft activities, and the incorporation of new measures in the ESF ESMP and the SEP to ensure proper implementation of the strategy.

**ESS8 - Cultural Heritage**

Relevant

*[Explanation - Max. character limit 10,000]*

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This Standard is relevant as the anticipated adaptation and rehabilitation of schools and electrical and sanitary facilities may involve soil excavations. Project activities will not include the rehabilitation of buildings which could be considered of cultural or historic value. Despite this, the ESF ESMP will include provisions for site specific-level screening and assessment of any known sites or remains of cultural or historic importance which may be impacted, as well as identification of any sites of cultural/social importance for local communities. The ESF ESMP will furthermore include Chance Finds Procedures for the construction areas, and construction contracts will include clauses requiring civil contractors to take proper protective measures in case cultural heritage sites are discovered, including to stop construction activities if archaeological or cultural sites are encountered during construction activities. No impacts on intangible cultural heritage are expected as a result of project activities. The Exclusion List referred to in ESS1 shall exempt the intervention of properties considered to be of high cultural and heritage significance. Aiming to manage potential risks and impacts resulting from TA activities, terms of reference, work plans, or other documents will be developed to define the scope and outcomes of these activities, so that the advice and other support provided is consistent with ESS8.

**ESS9 - Financial Intermediaries**

Not Currently Relevant

*[Explanation - Max. character limit 10,000]*

This Standard is not relevant as the project will not make use of any financial intermediaries.

**B.2 Legal Operational Policies that Apply**

**OP 7.50 Operations on International Waterways**

No

**OP 7.60 Operations in Disputed Areas**

No

**B.3 Other Salient Features**

**Use of Borrower Framework**

No

*[Explanation including areas where "Use of Borrower Framework" is being considered - Max. character limit 10,000]*

While the Project will use pre-existing instruments, tools and checklists as a basis for its E&S issues management approach, it will not involve the formal Use of the Borrower Framework, whether in whole or in part.

**Use of Common Approach**

No

*[Explanation including list of possible financing partners – Max. character limit 4,000]*

N/A

**B.4 Summary of Assessment of Environmental and Social Risks and Impacts**

*[Description provided will not be disclosed but will flow as a one time flow to the Appraisal Stage PID and PAD – Max. character limit 10,000]*

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[Description provided will not be disclosed but will flow as a one time flow to the Appraisal Stage PID and PAD – Max. character limit 10,000]

The environmental and social risk rating is considered Moderate mainly due to the anticipated risks and impacts derived from the execution of activities under Component 1 such as improvements to classrooms and water, sanitation, and hygiene (WASH) facilities, the replacement of damaged infrastructure, and the construction of new WASH facilities, classrooms, and one new school in Quito’s outskirts. Overall, due to the nature of the proposed activities, the associated impacts are expected to be predictable, temporary, reversible, low in magnitude, site-specific, and with low probability of major adverse effects to human health or the environment. In addition, such potential risks and impacts can be easily mitigated in a predictable manner. Some of the key potential environmental impacts may include: (i) nuisance related to dust generation, vibration, noise and odors; (ii) generation, management and disposal of non-hazardous and hazardous solid waste, residual construction materials waste, and potential hazardous materials from demolitions; (iii) generation and discharge of wastewater from civil works; (iv) disposal from water and sanitation connections; (v) health and safety risks to the project workforce and local communities in the surrounding areas of the project activities; and (vii) direct and indirect impacts from natural hazards that may occur in the selected lots and surrounding areas. Such impacts will be addressed through proper screening and assessment of the educational facilities that are eligible for intervention, in observance of factors of E&S sensitivity for the construction work to be undertaken.

On the social side the Moderate level of risk involved will require specific management instruments oriented to social impact mitigation and risk management, labor management, community health and safety, land management (but solely in terms of follow-through on the transfer of lands from other public entities to MINEDUC), and attention to vulnerable groups (indigenous peoples, Afro-Ecuadorians and Montubios—collectively known as “IPAM”—disabled people, and migrants). Under C2 the IPAM are expected to be affected by, and involved in, the equipping of schools and the implementation of new pedagogical models, teacher training, and guidelines development, and appropriate measures for addressing the impacts of these on them will be incorporated into the. In terms of community health and safety, considering that the project will also involve works in urban and peri-urban areas, and that Ecuador has been undergoing a period of economic and political distress, the machinery and equipment needed is at risk of theft or damage, which may require the contracting of private security personnel to guard it. For all project components (as technical assistance, or TA, activities are also included as part of C2), there is a need to adequately manage communication flows and consultation dynamics involving different sets of stakeholders, requiring the implementation of a final version of the Stakeholder Engagement Plan (SEP) prepared as a draft prior to appraisal.

The Borrower is expected to make extensive use of the existing E&S management plan, risk screening matrices, and other tools developed for other projects MINEDUC has recently implemented, which greatly reduces the overall level of risk. Whatever complementary measures are required, will be specified in an enhanced ESMP (or an “ESF ESMP”) that complies with the relevant ESF requirements, which the Borrower will prepare, consult on, adopt and disclose as a condition of disbursement for any activities under C1 or C2. This approach is deemed possible due to the Project scope and characteristics, together with the experience of MINEDUC’s E&S team with implementing infrastructure projects with other DFIs and aligning to its practices to sustainability policies. The Ministry’s in-house E&S team, working at the central level, will enhance its existing ESMP considering the WB’s ESF with the guidance of the WB’s ESF team. The team will also develop an Exclusion List aiming to screen out from being included and financed under the Project any Substantial or High risk activities with the potential to generate high risks/impacts, such as physical and/or economic displacement, environmentally harmful land-use changes like deforestation, or significant adverse impacts on any type of natural habitats or cultural resources. The Bank will support MINEDUC during preparation and the early stages of implementation



to ensure that the PIU achieves adequate ESF-related knowledge and E&S management performance in accordance with the requirements of the relevant ESSs.

### **C. Overview of Required Environmental and Social Risk Management Activities**

#### **C.1 What Borrower environmental and social analyses, instruments, plans and/or frameworks are planned or required by implementation?**

*[Description of expectations in terms of documents to be prepared to assess and manage the project’s environmental and social risks and by when (i.e., prior to Effectiveness, or during implementation), highlighted features of ESA documents, other project documents where environmental and social measures are to be included, and the related due diligence process planned to be carried out by the World Bank, including sources of information for the due diligence - Max. character limit 10,000]*

During implementation , as a condition of disbursement MINEDUC will develop an ESF ESMP to identify gaps in relation to the relevant ESSs, and enhance and complement its approach, scope and management measures, including capacity building measures for contractors and for MINEDUC’s E&S teams at different levels. The ESMP will include:

- an Exclusion List to ensure E&S risks of the potential project interventions to screen out from being included and financed under the Project activities that are Substantial or High risk.
- the required elements of Labor Management Procedures, namely labor risk and impact identification and evaluation process for issues considered under ESS2 not reflected in the current ESMP; measures to mitigate such risks and impacts; a checklist of labor issues to be included in bidding documents for both contractors and supervisors; and key indicators to report on these issues as part of the Ministry’s monitoring and reporting responsibilities before the Bank.
- relevant information on the characteristics of IPAM involved in the project, so as to propose relevant measures that allow them to benefit from the proposed interventions in a culturally appropriate way, while also avoiding, or outright excluding, the possibility of adverse impacts on them. Also, an evaluation, post-appraisal, of the need for an expanded strategy to engage IPAM stakeholders regarding the soft activities under C2, and the incorporation of new measures in the ESF ESMP to ensure proper implementation of the strategy.
- measures to ensure the TORs for all anticipated TA activities include relevant ESF provisions according to the requirements set out in paragraphs 14 to 18 of ESS1, as relevant, appropriate to the nature of the risks and impacts During implementation, as a disbursement condition, MINEDUC will prepare and adopt, prior to any emergency disbursements, a manual that lays out the procedures and requirements to comply with the ESF, which will include the preparation of a CERC-specific ESMF, once it has been determined that the component will be activated.

The draft SEP will be consulted, finalized and published within sixty days of the Project’s effectiveness date, Inputs and feedback from the participants in the consultation processes to be carried out as soon as possible after appraisal will be included to finalize the SEP.

### **III. CONTACT POINT**

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**V. APPROVAL**

Task Team Leader(s):	Ciro Avitabile, Antonella Novali, Helena Rovner
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