ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT, PUERTO BOLÍVAR PROJECT – PHASE 1

– ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN–

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EXECUTIVE SUMMARY

The Environmental and Social Management Plan of the Puerto Bolívar Project - Phase 1, contains a series of plans and measures required to ensure the additional management needs for compliance with the "Ecuador Principles" and the Performance Standards on Environmental and Social Sustainability of the International Finance Corporation (IFC).

The following sub-plans have been included in this plan: External Communication Mechanism and attention to complaints, Mitigation and remediation plan for affected areas, Biodiversity Management and Monitoring Plan, Management Plan for accidental findings, Monitoring and Supervision Plan for Contractor performance, Effluent Management Plan in Settlements, Community Health and Safety Plan, Severance Plan for seasonal workers, Participation Plan for Stakeholders.

Each plan contains its relevant objectives, scope, decision-makers, and protocol or proposed measures.

ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN

The Environmental and Social Management Plan (PGAS) of the Puerto Bolívar – Phase 1 Project is a methodological tool intended to ensure the implementation of the social-environmental requirements resulting from the Environmental and Social Assessment complementary to the Project's Environmental Impact Assessment.

1. Objectives

The environmental and social Management Plan established in this document seeks:

- To prevent, minimize, control, and monitor the new impacts and risks identified, in their area of influence.
- To provide personnel involved in the project and users of the same with guidelines for managing installations and the implementation of activities according to efficient and socially responsible environmental conditions.
- To ensure that the implemented activities comply with current laws, regulations, ordinances, and standards of their jurisdiction and applicable to their activity.
- To ensure the implementation and management of the Environmental and Social Management System and its described plans.

2. Current Environmental Management Plans and Scope of these PGAS

The current environmental Management Plans for the project (Annex I), established according to national environmental standards, and the identification of environmental impacts and risks, based upon which the Environmental Licenses for the operation, dredging and construction of YILPORTECU's pier 6 have been obtained and maintained, contain a series of plans and sub-plans as detailed below:

A) TP Environmental Management Operation Plan.

Prevention, Mitigation and Impact Plan

Waste Management Plan, PMD

Communication and Training Plan,

PC Community Relations Plan, PRC

Contingency Plan, PDC

Occupational Health and Safety Plan,

PSS Monitoring and Follow-up Plan, PMS

Area Abandonment and Handover Plan, PAE

B) Dredging Environmental Management Plan

Prevention, Mitigation and Impact

Plan Waste Management Plan, PMD

Communication and Training Plan, PC

Community Relations Plan, PRC

Contingency Plan, PDC

Occupational Health and Safety Plan,

PSO Monitoring and Follow-up Plan, PMS

Area Abandonment and Handover Plan, PAE

C) Pier 6 Construction Environmental Management Plan

Prevention, Mitigation and Impact

Plan Waste Management Plan

Communication and Training Plan

Community Relations Plan

Contingency Plan

Occupational Health and Safety

Plan Monitoring and Follow-up Plan

Restoration Plan

Area Abandonment and Handover Plan

The PGAs have been created to ensure compliance with the “Ecuador Principles” and the Performance Standards on Environmental and Social Sustainability of the International Finance Corporation (IFC). Therefore, new plans with specific environmental measures have been included to complement the current and approved Management Plans.

3. Health, Safety, Environmental and Comprehensive Policy of YILPORTECU S.A.

3.1. HSE Policy

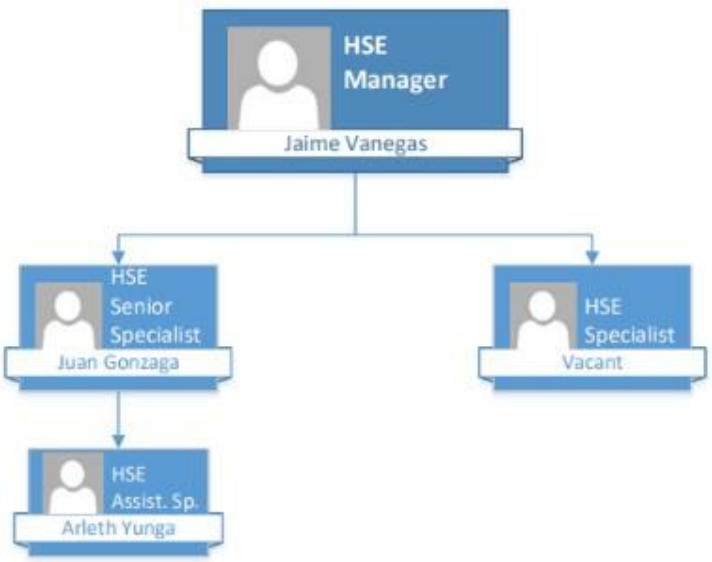
Because YILPORT TERMINAL OPERATIONS (YILPORTECU) S.A., a concessionary company of the "Puerto Bolívar" maritime terminal, must ensure the Occupational Health, Safety and Environment of its collaborators, these regulations have been created for Occupational Health, Safety, and Hygiene. The following paragraph has been created as a comprehensive policy:

"YILPORT TERMINAL OPERATIONS (YILPORTECU) S.A., focuses on providing sustainable value to its clients, employees, contractors, subcontractors, authorities, shareholders, and users of the port installations. Therefore, the company conducts its operations according to national and international standards for industrial and occupational health, safety, and the environment. It has identified and mitigated the risk level of its operations, taking the necessary precautions to prevent potential workplace accidents and illnesses while also minimizing environmental contamination. It is convinced that human resources are the most valuable company asset, and a healthy and sustainable environment is the best legacy for future generations".

3.2. Organization and Managers of the HSE Department

The General Management has delegated the activity of "Head of Environmental Management and Community Relations" to the HSE Department, which will carry out the activities of management and control of the Environmental and Social Management Plans with the advising and support of specialized external consultants.

Figure No. 1. Organization Chart of the HSE Department



Source: YILPORTECU S.A.

HSE Manager.

1. Objective of the position:

To design, control, verify and manage the occupational risk management, health and environmental system in the YILPORTECU installations, ensure the collaborators' quality of life, and comply with the current policies to maintain a safe workplace, mitigating risks through a model of ongoing and sustainable improvement.

2. Functions and responsibilities:

To permanently audit unsafe conditions in the YILPORT Puerto Bolívar offices and port terminal, including the maritime perimeter and the interior of the vessels moored in the piers.

To regularly create and update the Internal Regulations on Occupational Health and Safety, according to the new business modalities and the governmental provisions. In addition, to update the NTP 330 general risk matrix for work positions and its approval by the Ministry of Labor.

To implement the risk identification matrix for the ongoing improvement of the YILPORTECU installations in terms of occupational health, industrial safety, and the environment.

To create a matrix for industrial safety, occupational health, and the environment for the business operation activities performed by operations, construction, maintenance, and crew subcontractors.

To support the Management team in the organization of roles and responsibilities concerning occupational health and safety.

To define the specifications of the personal protection equipment (PPE) to be used, according to company activities.

To define the biosafety risk analysis in each work position and implement the biosafety PPE plan for pandemics.

To create, update and monitor the effective implementation of the health and safety procedures and regulations for YILPORTECU employees and subcontractors.

To ensure the familiarization and assimilation of the importance of the occupational health and safety system and the protective equipment.

To implement the Management Plan for the mitigation of occupational risks, health risks and environmental risks.

To lead and carry out implementing and maintaining the integrated management systems with support from different company departments.

To guarantee that all employees have been trained in Occupational Health, Safety, and the environment.

To design training and study plans for the distinct work positions and the different businesses of YILPORTECU, according to the need and demand of the business.

To offer service providers such as industrial cleaning, material recycling, solid and liquid waste management, occupational health doctor, and environmental consultants.

To obtain and manage the environmental licenses required for YILPORTECU to implement its operations and expansion plan.

According to the management model and external to the Port Loading Operating Companies, Related Service Companies, and other subcontractors, to implement and direct internal audits of laterally-structured departments in the distinct EHS areas.

To conduct investigations of occupational accidents and incidents, compile all relevant documentation, conduct investigative meetings, and compile the evaluation committee for ongoing improvements to ensure that these events are not repeated.

To continually advise the EHS Committee concerning the occupational health areas. To direct and manage the annual selection of the new EHS committee and its respective representatives. To oversee approval by the Ministry of Labor and to carry out actions in the case in which personnel substitutions are made.

To contribute with business initiatives and projects that review impact in areas related to occupational health and safety.

To design and prepare an analysis of the annual budget of the EHS department and to ensure compliance with the same.

To develop and establish KPI objectives and indicators and send reports to the relevant regulatory authorities (the Puerto Bolívar Port Authority, YILPORT HOLDING, the Ministry of Labor, the Ministry of the Environment, and Occupational Risks of the Environment IESS and the El Oro prefecture).

4. Environmental and Social Performance Standards applicable to the project

4.1. Ecuadorian law

- Constitution of the Republic of Ecuador.
- Codification of the Water Laws.
- Comprehensive Organic Criminal Code.
- Health Code and it's Organic Law.
- Organic Code of Land-Use Planning and Decentralization (COOTAD).
- Organic Code of the Environment and its Regulations.
- Regulations on Worker Health and Safety and Environmental Improvements of the Ministry of Labor and Employment.
- Ministerial Accord 061 “Reform of Book VI of the Unified Text of Secondary Legislation of the Ministry of the Environment (TULSMA)”

- Ministerial Accord 097A. Annexes of the Unified Text of the Secondary Legislation of the Ministry of the Environment.
- Ministerial Accord 100-A. Environmental Regulation on Hydrocarbon Operations in Ecuador (RAOHE).
- Ministerial Accord 026, issuing the procedures to register hazardous waste generators, the management of hazardous waste required for environmental licensing and for the transport of hazardous materials.
- Ministerial Accord 142. National Listing of Hazardous Chemical Substances, Hazardous, and Special Waste.
- Technical Regulations:
    - NTE INEN 2-288:2000, "Hazardous industrial chemical products. Warning labels".
    - NTE INEN ISO 3864-1:2013 Safety Colors, Signs and Symbols, 1982-165
    - NTE INEN 2266:203 Transport, Storage and Handling of Hazardous Materials
    - Guide to Emergency Responses with Hazardous Materials. Ministry of the Environment. Technical Secretariat of the Management of Hazardous Waste

4.2. Performance Standards of the International Financial Corporation (IFC)

In the Environmental and Social Due Diligence (DDAS), the following Performance Standards (ND) of the IFC may be applied:

i) ND 1: Assessment and management of the environmental and social risks and impacts,
ii) ND 2: Work and employment conditions;
iii) ND 3: Effectiveness of resource use and the prevention of contamination;
iv) ND 4: Community health and safety and
v) ND 6: Preservation of biodiversity and sustainable management of living natural resources.
vi) ND 8. Cultural patrimony

4.2.1. Assessment and management of the environmental and social risks and impacts

Performance Standard 1 highlights the importance of the management of environmental and social performance during a project. An effective Environmental and Social Management System (SGAS) is a dynamic and ongoing process that implements and supports the management and that implies collaboration between clients, workers, local communities directly affected by the project (the Affected Communities) and, when applicable, other shareholders, based on previously established elements of business management-- in other words, the "planning, execution, verification and action". The SGAS applies a methodological approach to managing risks and impacts in a structured and ongoing manner. A good SGA, based on the project's scale and nature, promotes solid, sustainable environmental and social performance and may improve financial, environmental, and social results.

4.2.2. Work and employment conditions

Performance Standard 2 recognizes that the protection of basic worker rights should accompany the search for economic growth through employment and income generation. For any company, the workforce is a valuable asset, and good relations between workers and management is essential to the company's sustainability. Failing to establish and promote a good relationship between workers and management may lead to a decline in worker commitment and hinder employee retention. This may place the project at risk. On the other hand, constructive relationships between workers and management, fair treatment, and the provision of safe and healthy working conditions may promote tangible benefits for IFC clients, such as improved efficiency and productivity of their operations.

The requirements stipulated in this Performance Standard arise from a series of international conventions and instruments, including those of the International Labor Organization (ILO) and United Nations.

4.2.3. Effectiveness of resource use and the prevention of contamination

Performance Standard 3 recognizes that an increase in economic activities and urbanization tends to generate higher air, water, and land contamination levels and the consumption of finite resources, potentially placing the local, regional, and global population and environment at risk. There is also a growing consensus that suggests that the current and predicted emission of greenhouse gases (GGE) in the atmosphere is a threat to public health and the wellbeing of present and future generations. On the other hand, more efficient and effective use of resources is more accessible globally, as is the application of technologies and practices to prevent contamination and mitigate or prevent greenhouse gas emissions. Their implementation tends to involve the use of methodologies of ongoing improvement, similar to those used to improve quality or productivity, which, generally speaking, are well-known in most companies of the industrial, agricultural, and service sectors.

4.2.4. Community health and safety

Performance standard 4 recognizes that a project's activities, equipment, and infrastructure may increase the possibility of a community being exposed to risks and impacts. Likewise, communities that have already been subject to the impacts of climate change may experience an increase or intensification of said impacts due to the project activities.

Although the role of the public authorities in promoting public health and safety is well-known, this performance standard focuses on client responsibility to avoid or minimize risks and impacts on the community's health and safety derived from project activities, paying special attention to vulnerable groups.

The level of risks and impacts described in this performance standard may be greater in projects carried out in areas of conflict. The risks that a project may exacerbate an already sensitive local situation and generate tension on scarce local resources should be considered since new conflicts may result.

4.2.5. Preservation of biodiversity and sustainable management of living natural resources

Performance standard 6 recognizes that the protection and preservation of biodiversity, the maintenance of ecosystem services, and the sustainable management of living natural resources are all fundamental to sustainable development. The requirements proposed in this performance standard are based on the Convention on Biological Diversity, which defines biodiversity as "the variability among living organisms from all sources, including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems".

Ecosystem services are the benefits that are obtained by individuals, including companies, from the ecosystems. There are four types of eco-systemic services: (i) provisioning services, which are the products obtained by individuals from the ecosystems; (ii) regulating services, which are the benefits obtained by individuals from the regulation of ecosystem processes; (iii) cultural services, which are the non-material benefits obtained by individuals from the ecosystem and (iv) support services, which are the natural processes that maintain the other services.

Services provided by the ecosystems and valued by humans tend to be sustained in biodiversity. Therefore, impacts on these may jeopardize the ecosystems' service provision. This performance standard considers how clients may sustainably manage biodiversity and the ecosystem services and mitigate the impact on the same, especially during the project's life cycle.

4.2.6. Cultural patrimony

This standard recognizes the importance of cultural patrimony for present and future generations. Its objective is to protect cultural patrimony from a potentially adverse project impact and promote the balanced distribution of benefits derived from the same.

4.3. Ecuador Principles

The Ecuador Principles were established to ensure that projects to be financed are carried out in a socially responsible manner and to ensure the application of rigorous environmental management practices.

These principles are based on the declaration of the importance of climate change, biodiversity, and human rights to avoid, minimize, mitigate or compensate for the negative effects on ecosystems, communities, and the climate resulting from these projects.

4.3.1. Principle 1: Review and categorization

Categorization ensures that the environmental and social due diligence of the EPFI are in line with the nature, magnitude, and phase of the project and with the environmental and social risk and impact levels.

The categories are as follows:

Category A – Projects having potentially significant adverse environmental and social risks and/or impacts that are diverse, irreversible, or unprecedented.

Category B – Projects having potentially limited adverse environmental and social risks and/or impacts that are scarce in number, generally located in specific locations, mainly reversible and easily corrected through mitigation measures; and

Category C – Projects having minimal or non-adverse environmental and/or social risks and/or impacts.

4.3.2. Principle 2: Environmental and Social Assessment

For all of the projects in categories A and B, the EPFI demands that clients carry out an assessment process to consider the environmental and social risks and impacts related to the proposed project. The Assessment Documentation offers an appropriate, precise, and objective assessment and presentation of the environmental and social risks and impacts. Measures should be proposed to minimize, mitigate and compensate for the adverse impacts, permanently and appropriately, according to the specific nature and magnitude of the proposed project.

For the projects in Category A and, when applicable, in Category B, the Assessment Documentation includes an Environmental and Social Impact Assessment (EIAS).

It may also be necessary to complete an assessment on human rights and analyze alternatives to assess potential options having a lower intensity of GGE.

4.3.3. Principle 3: Applicable environmental and social standards

First and foremost, the assessment process should ensure compliance with all relevant laws, regulations, and permits of the host country regarding environmental and social aspects. The EPFI operates in diverse markets. Some of these have solid environmental and social governance, legal systems, and institutional capacity to protect the population and the environment. Others are currently developing the necessary technical and institutional capacity to manage environmental and social aspects. The EPFI requires that the assessment process evaluate compliance with the applicable standards, as detailed below:

1. In the case of projects carried out in non-designated countries, the assessment process will evaluate compliance with performance standards on the environmental and social sustainability of the IFC (Performance Standards) and environmental, health and safety guidelines of the World Bank (MASS guidelines) (Document III).

2. In projects carried out in designated countries, the assessment process will evaluate compliance with the host country's laws, regulations, and permits concerning environmental and social aspects. The laws of the host country should comply with the requirements of environmental and/or social assessment (Principle 2), management systems and action plans (Principle 4), the participation of interest groups (Principle 5) and complaint mechanisms (Principle 6).

The assessment process should demonstrate, to the satisfaction of the EPFI, overall compliance of the project with the applicable standards or any justified deviation with the same.

Applicable standards (mentioned above) represent the minimum standards adopted by the EPFI. The EPFI may apply other additional requirements, as it sees fit.

4.3.4. Principle 4: Environmental and Social Management System and Action Plan of the Ecuador Principles

For all Categories A and B projects, the EPFI will demand that clients demonstrate or maintain an Environmental and Social Management System (SGAS).

Furthermore, the client will be required to create an Environmental and Social Management Plan (PGAS) to consider the aspects proposed in the assessment process and include the necessary compliance with the applicable standards. When the applicable standards are not in compliance, according to the EPFI, the client and the EPFI will agree to an Action Plan for the Ecuador Principles (PA). The PA of the Ecuador Principles is intended to indicate the differences and commitments for compliance with the requirements of the EPFI, according to applicable standards.

4.3.5. Principle 5: Interest Group participation

For all projects in Categories A and B, the EPFI will require that the client demonstrate the ongoing, structured, and culturally appropriate participation of the Interest Groups and, when applicable, that of other Interest Groups. In projects with potentially significant impacts on the affected communities, an informed consultation and participation process will be carried out. The client will adapt its consultation process to the following: project risks and impacts; the project development phase, the linguistic preferences of the affected communities, their decision-making processes, and the needs of disadvantaged and vulnerable groups. This process should be exempt from external manipulation, interference, coercion and intimidation.

To facilitate the participation of the interest groups, the affected communities and, when applicable, other interest groups, will be provided with the assessment documentation in the local language and in a culturally appropriate format. The interest group participation process results will be documented, including established measures derived from said process. In the case of projects having adverse environmental and social risks and impacts, the information will be provided during the first phases of the assessment process and, in any case, before the onset of the project's construction and in a periodic manner.

4.3.6. Principle 6: Complaint mechanisms

For all projects in Category A and, when applicable, Category B, the EPFI will require that, as a part of the SGAS, the client define a complaint mechanism to receive and facilitate the resolution of any concerns and complaints related to the project's environmental and social

performance. The complaint mechanism should be in line with the project's risks, and impacts and the affected communities should be their main users. Concerns should be resolved quickly, using an easy-to-understand and transparent consultation process that is culturally appropriate and of easy access. It should be free of cost and no fear of reprisal for those making the complaint or raising the issue.

The mechanism should not impede access to administrative or judicial resources. The client will inform the affected communities regarding the mechanism during the interest group participation process.

4.3.7. Principle 7: Independent review

Project financing. For all projects in Category A and, when applicable, those of Category B, an Independent Environmental and Social Consultant having no direct relationship with the client, will carry out an independent review of the assessment documentation, including the documentation of the PGAS, the SGAS and from the interest group participation process, to contribute to the due diligence tasks of the EPFI, and to assess compliance with the Ecuador Principles.

The Independent Environmental and Social Consultant will also propose or assess an Action Plan for the Ecuador Principles that is appropriate, capable of guaranteeing that the project complies with the Ecuador Principles, or indicating when this compliance is not possible.

Corporate Loans Related to Projects. An independent review, to be carried out by the Independent Environmental and Social Consultant, will be required for those projects having potentially high-risk impacts, including, but not limited to the following:

• adverse impact on indigenous populations

• impact on critical habitats

• significant impact on cultural patrimony

• large scale resettlements

For other corporate loans related to projects in Category A and, when applicable, Category B, the EPFI may determine if it would be useful to carry out an independent review or if an internal review made by a financial entity is sufficient. This review may include due diligence carried out by a multi-lateral or bilateral financial entity or an export credit agency of the OECD.

4.3.8. Principle 8: Contractual commitments

For all of the projects, the client agrees to the following: to commit to the clauses included in the financing documentation, to comply with all environmental laws, regulations and permits of the host country for all relevant aspects.

Similarly, for all of the projects in categories A and B, the client commits to the following, through clauses included in the financial documentation:

a) To comply with the PGAs and the Action Plan of the Ecuador Principles (if relevant) during the project construction and operation, for all relevant aspects; and

b) To provide periodic reports in the format established with the EPFI (the frequency of these

reports will be proportional to the severity of the impacts or based on legal provisions, but will be (at least) annual), created by internal or external experts, which:

i) document compliance with the PGAS and, when appropriate, the Action Plan of the Ecuador Principles, and

ii) demonstrate compliance with environmental and social laws, regulations and permits on a local, state, and national level (of the host country); and

c) Dismantle the installations, assuming that this is applicable and opportune, according to the established dismantling plan.

When the client breaches its contractual commitments in the social and environmental area, the EPFI will work with the client on corrective measures so that, to the greatest extent possible, the project will once again comply with the required measures in these areas. If the client does not re-establish compliance in the established grace period, the EPFI reserves the right to apply measures as it deems opportune.

4.3.9. Principle 9: Independent follow-up and report

Project financing. To assess whether or not the project complies with the Ecuador Principles and to ensure the ongoing follow-up and the report, following the financial closure and during the loan term, the EPFI will require that an Independent Environmental and Social Consultant be appointed for all projects of Category A and, when applicable, Category B or that the client has qualified external experts verify the follow-up information to be shared with the EPFI.

Corporate Loans related to projects. In the case of projects requiring an Independent Review based on Principle 7, the EPFI will require an Independent Environmental and Social Consultant appointment following the financial closure, or that the client has qualified, experienced external experts verify the follow-up information to be shared with the EPFI.

4.3.10. Principle 10: Report presentation and transparency

Client requirements for the presentation of reports. In addition to the information requirements of Principle 5, the following requirements have been established for the presentation of reports by the client.

For all of the projects in category A and, when applicable, category B:

- The client guarantees that (at least) a summary of the Environmental and Social Impact Assessment will be accessible and available online.
- The client will publically report the levels of GGE (combined emissions of Scope 1 and Scope 2) during the operating phase for projects in which more than 100,000 annual tons of CO2 are emitted.

4.4. Guidelines on the environment, health and safety (MAAS) of the GBM

The guidelines on the environment, health, and safety are technical reference documents containing general and specific examples of the International Good Practices for the Industry

(GIIP).

These guidelines contain the performance levels and indicators that can typically be reached in new installations, with the current technology, and at reasonable costs. In already existing installations, it may be necessary to establish specific goals for the location as well as an appropriate calendar to achieve them.

The application of these guidelines will be based on the results of the risk identification and environmental assessments in which variables specific to the site are considered.

In cases in which the recipient country has distinct regulations for the levels and indicators in the guides, the projects should consider the strictest of the same.

5. Structure

This Environmental and Social Management Plan

a) Plan for external communication and attention to complaints (stakeholders)

b) Plan for internal communication and attention to complaints (workers)

c) Mitigation plan and remediation of the affected areas (EAS)

d) Plan for the Management and Monitoring of Biodiversity

e) Management Plan for Archaeological Findings.

f) Plan for the Supervision and Monitoring of Contractor Performance

g) Settlement Waste Management Plan

h) Community Health and Safety Plan

i) Severance plan for seasonal workers

j) Public consultation and participation of stakeholders

6. External communication and attention to complaints

6.1. Justification and objectives

To maintain good neighborhood relations, it is necessary to establish and maintain a communication channel that is open to the public and easy access by stakeholders (i.e., telephone number, website, email address).

The external stakeholders may offer valuable information and suggestions to improve products, early warnings in critical situations, opinions regarding relations with employees or

comments before the regulatory bodies, non-profit organizations, and others concerning the project's social and environmental performance.

The purpose of a complaints mechanism is to establish a means by which people, groups or communities affected by Yilportecu's activities can contact the same, in the case of any doubts, issues or formal complaints.

6.2. External communication

The external communication procedure should include actions to be carried out by the promotor's Community Relations Department or the individual delegated for the same purpose, and that is primarily implemented in the urban parish of Puerto Bolívar:

- To receive, record, and validate external communications and requests for information from the public;
- To analyze and assess the importance of the proposed issues and to determine the manner of responding to the same;
- To provide, offer follow-up on, document, and publish the responses, and
- To adjust the management program as necessary.

The external communication should promote an active and fluid relationship and, at the same time, facilitate complaint mechanisms having a response capacity.

The most effective participation mechanisms in the area, identified via the surveys carried out in the project's area of social influence, are:

- Informative meetings (48%)
- Informative round tables (23%)
- Brochures and leaflets (21%)
- Radio (8%)

Yilportecu promotes communication through spaces that permit the receipt of stakeholder comments or opinions, establishing the following communication system and dissemination mechanisms for the informative meetings: personalized invitations, massive convocations through the radial and written press, speakers and delivery of flyers,

as considered appropriate, allowing for the assessment of compliance with the measures established in the PGAS along with the receipt of feedback.

6.3. Attention to suggestions, complaints, and claims

In practice, a complaint mechanism should:

- To establish a procedure by which individuals can contact YILPORTECU (anonymously or nominally) to propose questions, express doubts, or make complaints. Possible examples include: a suggestion box, a toll-free telephone assistance line, an email address, or periodic meetings held to discuss especially problematic issues.

- To designate a YILPORTECU individual or group as the party responsible for receiving, recording, and processing complaints.
- To establish procedures to record, analyze, categorize, investigate and determine alternatives for resolution or repair.
- To create a system to communicate the decisions adopted and the progress made in the pending issues. People should know when they can expect to receive a response.

Not all complaints can be resolved in the same manner. The simpler issues, e.g. that a company service vehicle has run over an animal in the road can be handled by the team responsible for recording the complaint. More complex problems, such as a complaint about widespread pollution, may require immediate intervention by upper management and more specific resources for the research, documentation, and presentation of reports. In complex and recurrent problems, the possibility of convening external consultants to act as independent mediators should be considered.

The more serious the complaint, the more independent the mechanism to determine the resolution and the options for its attention.

The complaint mechanism must be accessible and reliable. It should be adapted to the reality of the local community, in this case, Puerto Bolívar, so that it will be easy to raise concerns. This requirement requires that the appropriate individuals from the company perform this task.

The value of a duly implemented complaint mechanism should not be underestimated. The information received may serve as an early warning, before the problem becomes overwhelming over time.

6.3.1. Definitions

Complaint: Resentment, complaint, reluctance, or dissatisfaction with a personal situation of the complainant, concerning the company, which directly or indirectly affects them and which requires correction. It should be made in writing.

Claim: Opposing something, either verbally or in writing, expressing disapproval, or a complaint related to a demand caused by some type of event in the work environment.

Unrest: Concern, lack of knowledge regarding an area or situation related to the work environment in which the individual participates.

Suggestion. Declaration of an idea or proposal to improve the organization's service or management.

6.3.2. Receipt mechanism

The mechanisms to be implemented for the receipt of suggestions and complaints from the stakeholders will be (at least) the following:

- Physical mailbox, installed upon entering the Yikportecu Port Terminal.

- The establishment of a contact email, which will be published on the website.
- Physical receipt of communications, within the Yilportecu installations.

The suggestions received via these communication channels should follow the established protocol. For improved communication, the following are recommended:

- Publication of the existence of the complaint mechanism so that people know where to go and whom to contact.
- Commitment to offer a response within a given period and compliance with the same, since this will increase the transparency and perception of a “just process”.
- Registration of each step to create a “documented traceability”.

6.3.3. Responsibilities

Receptionist.

Receiving the complaint, from the distinct receipt mechanisms, recording it and continuing the procedure.

Maintaining a logbook on the follow-up to the communication.

Reporting the resolution.

Manager of Safety, Health, and the Environment.

To create and update the protocol on external communication management.

To direct the relevant departments, which should manage and coordinate with the contracted companies as relevant, in the case of an event involving an external employee.

To share the results obtained on implementation and execution of the procedure to attend to complaints, claims, and personnel suggestions.

Human Resources Manager

To review, supervise and coordinate the approval, dissemination, and compliance with the procedure.

General Manager

To approve the procedure.

To approve the responses in the case of serious circumstances requiring the same.

6.3.4. Communications management protocol

i. All communications that are received will be recorded in a Follow-up File, which consists of the issuer's name, the procedure number and the date of receipt, and the contact telephone number and email of the issuer.

ii. The party entrusted with reception will classify the communications for its referral (along with a digital copy) to the relevant department (industrial safety, management, legal, others), sending a copy to the General Manager and the legal department.

Comments, suggestions, complaints, and other communications made in specific areas will be sent as follows:

- Environmental and/or Safety Topics: HSE Manager

- Requests for donations or collaboration: HR Manager, Administrative Director
- Concerns regarding work areas, dredging, implemented projects: HSE Managers, Project Department
- Request for information: Legal Department, Administrative Manager.

iii. A physical and digital file will be made for all communications – be they complaints, claims, requests for information and/or meetings or other types, as received from stakeholders, union representatives and/or communities in the project's area of influence.

iv. Thirty (30) business days are permitted for the issue of an official response on behalf of YILPORTECU, upon approval of the document by the General Manager and/or the Legal department or others designated by the administration.

v. In the case of communications regarding environmental and/or safety issues, after the response by the HSE Manager, a working meeting will be requested with the Legal department, General Manager, and environmental advisor to discuss the scope and implications of the communication. Depending on the type and scope of the claim or complaint, the Attention Protocol or the Rehabilitation of affected areas protocol may be activated. In this meeting, a course of action will be defined to propose a solution or the drafting of the response. In the case of activating one of the cited protocols, the issuer will be notified of the decision and steps to be taken in the respective protocol.

vi. This response will be sent via email and will be notified via telephone for its withdrawal in printed version from the YILPORTECU offices.

vii. The response document issued by YILPORTECU will be registered in the Follow-up File, where the date of issue and initial communication generating the response (its code or number) will be recorded. The delivery of the printed copy will be recorded in the follow-up file.

TIME AND MOMENTS OF THE EXTERNAL COMMUNICATION MECHANISM

1 day	Receipt and recording of the communication (follow-up file)
2 day	Analysis of the issue
1 day	Referral of the communication to the competent department
1 day	Completion of the procedure and response generation
2 days	Assessment of the relevance of the response, for serious and very serious cases
2 days	Readjustment of the responses for serious and very serious cases and re- sending to the manager or delegate for community relations issues
1 day	Sending of the response to the complainant
1 day	Verification of compliance of the response
1 day	Closing of the complaint file

7. Internal Communication Mechanism and attention to complaints

7.1. Justification and Objectives

These permit all personnel working in the YILPORTECU S.A. port installations to express their opinions and ideas related to their environment, needs, and the work environment, such that their suggestions are considered to improve fluidity in the established procedures and to attend to topics that may be beyond the perception of the Human Resources administration, respecting the basic principles of transparency and accessibility, Yilport's corporate policies and values and the laws of Ecuador.

7.2. Internal communication process.

The internal communication process is guided by the Procedure of Complaints and Suggestions of Human Resources with code: RH-PR-13 (ANEXO II)

8. Mitigation plan and restoration of the affected areas

8.1. Objectives:

To prevent and mitigate environmental contamination resulting from spills or escapes and restore the areas affected by contamination and environmental liabilities.

8.2. Proposed measures

- The areas intended for the storage of hydrocarbons, hazardous substances, chemical products in general, be they consumables or merchandise (in transit or stored), should be covered, have cross ventilation, waterproof floors and containers or containment wells for spills, as established in INEN standard 2266, as well as other applicable ones.
- Bi-annual testing should be carried out on water tightness and calibration of hydrocarbon storage tanks, in accordance with the technical standard of reference (API 350, API 353).
- There should be spill containment elements in all operational areas: work areas, settlements, piers, tank area, warehouses, and others on solid ground and in the floating installations or in the sea, where hydrocarbons and chemical and hazardous substances are handled or stored, or where machinery is operated which, in the case of an accident, may lead to a major spill.
- Annual simulations should be conducted to contain spills, evacuation in the case of toxic material spills and fires, including sites that represent the diversity of areas and conditions where these are considered risks (warehouses, vehicles, patios, outdoors or in open decks, etc.).
- Quality control monitoring should be carried out on the underground water in deep wells

that are used for consumption to control the evolution of its quality over the medium and long term.

- If there is any suspicion of pollution plumes in the ground or underground, exploratory perforations should be made to determine the spill's magnitude.
- In the case of confirming the presence of a pollution plume in the ground or underground, a correction program should be designed and implemented according to the substance's magnitude, characteristics, spill location, and time in the location.
- To implement a plan of fast and systematic repair of fissures and cracks in soils and pavements to reduce potential sources of underground contamination.

9. Management Plan and Biodiversity Monitoring

9.1. Objectives:

- To have the necessary means to ensure that biodiversity is not affected by the Port Terminal activities.

9.2. Invasive species management plan

It is necessary to act based on the YECU-EHS-126-Instructive Review of Certificates IMO_MARPOL_V1 procedure (Annex 10 of this book) of Yilportecu, which verifies that the ballast water of the vessels complies with the following parameters:

- To verify that all vessels of the signatory countries constructed after September 8, 2017 comply with the D2 standard (treatment).
- For vessels build before September 8, 2017, those from the signatory countries should comply with the D1 (exchange) or D2 (treatment) standard.
- For vessels built before September 8, 2017, that have renewed the International Oil Pollution Prevention Certificate (IOPPC) after September 8, 2017, they should comply with the D2 standard.
- To request the logbook on ballast water that verifies the last water loading and unloading point, checking if it took place in Puerto Bolívar and verifying the compliance with the coordinates record.
- For the IAPPC and IOPPC certificates, the supervisor should ensure that the date of validity is for at least 3 months for the next renovation.
- After verifying the compliance and validity of the certificates, it is necessary to continue with the vessel's safety inspection process.
- In the case of detecting a "non-conformity" with the requested documents, it is necessary to contact the EHS department to receive specific instructions on how to proceed.
- If the EHS department identifies that the vessel does not have the documentary support or guarantees of compliance with the standards, it will send a communication to the Maritime Authority, informing them of the event, to perform governing actions by the port through the Port State Control.

- The documents should be delivered to the EHS to register the validity of the dates.

9.3. Monitoring plan

9.3.1. Water quality

In addition to the 6 already existing locations for bi-monthly monitoring, 2 additional sampling points were included, in the southern area of the Santa Rosa marsh, for a total of established monitoring points as indicated below:

No.	Location	UTM 17S Coordinate X	Y
1	*Mouth of the Huaylá marsh	609894	9638207
2	*Two kilometers to the north of the entry to the Bravo marsh, where it meets with the Guajabal marsh	609009	9636266
3	In front of the Port	610680	9639902
4	In front of the Naval School	610682	9640521
5	Isla del Amor	610505	9641879
6	Entry to the Balneario El Coco	611365	9645418
7	Punta el Faro	608302	9646721
8	Entry to Jambelí	609094	9642541

**New monitoring points*

The samples taken should be compound (integration of surface water and water from near the sea bed) to avoid the effect of dilution by recent rainwater or the failure to detect compounds that tend to sink to the lower layer of the water column. All samples should be collected from low tides or low water phases, to prevent the possible entry of coastal water that does not belong to the interior water bodies. The same parameters will be analyzed as in the six already monitored points.

9.3.2. Hydrology

To examine the Lagrangian derivatives launched before the Puerto Bolívar installations to observe the movement of surface waters (1m),

the following should be ensured: 2 during tides and 2 in “breaks” both in the winter or the rainy season of the Ecuadorian coast and during the summer or dry season. It is suggested that follow-up of the buoys be carried out using satellite positioning (GPS) to register trajectories which will be followed by small vessels to prevent their loss and avoid their becoming entangled in fishing nets.

This same study should be carried out in the dredging disposal tank since this ensures that there is no physical connection, especially with shrimp nets.

9.3.3. Sediment quality

Two monitoring points located towards the south are increased. These are those that were described in the Water Quality section. The sample of sediments should be obtained with tubes or by demanding that the dredge have an upper opening to permit the obtaining of superficial sections of a maximum depth of 5 cm. It is recommended that the work be performed with 3 cm sections, to avoid alteration of the sampling due to its mixture with the contents of the

dredge. The surface film of the sediments is the part that is of the greatest interest for systematic analysis.

Due to population abundance and lack of wastewater treatment systems, it is suggested that the organic parameters of the sediments be included, such as

- Total nitrogen
- Ammonium
- Phosphates
- Nitrites and
- Nitrates

In addition to already established parameters of the current PMA, the presence of exclusively human compounds should be monitored, including:

- BTEX
- TBT
- Non-chlorinated aliphatics
- Chlorinated aliphatics

This, considering that some of these compounds will have a greater relationship with exogenous activities to the project, allows differentiating the potential origin of the same. In the case of the TBT, the presence and concentration of a product for specific use in antifouling paints for boats and other marine vessels will be established.

9.3.4. Biological sampling

9.3.4.1. Phytoplankton

The methodology used for phytoplankton should focus on the UTERMOHL protocol, demanding the observation of equipment. Samples should be collected with sampling bottles, recording the surface phytoplankton information, water medium, and sea bed, and communicating basic ecological descriptors.

Currently, the following locations have been monitored

- Santa Clara island
- 3 random points within the dredging disposal tank and
- In front of pier 1 of Puerto Bolívar
- In addition, two additional locations have been added in the Santa Rosa marsh:
  - In the buoy at the entrance of Santa Rosa marsh, on the beam of la Playita, and at the mouth of Huaylá marsh

Like that of the water samples, samples associated with the Santa Rosa marsh should coincide with the low tides.

9.3.4.2. Zooplankton

At the vicinity of the new points added in the previous section, 3-minute dredging operations will be performed in each location to obtain sestonic biomass of 3 fractions: 60, 300, and 500 microns. The fractions of 300 and 500 microns of zooplankton should be measures analyzed separately, and ecological descriptors and data on sestonic biomass abundance should be

recorded for each fraction.

9.3.4.3. Benthos

Standardized dredging will be carried out with a Van Been dredger in the same sites described for the planktonic analysis (section 8.2.4.1), with sieving at 500 microns (carried out aboard the vessel). The observation of the equipment is necessary before each sampling and the creation of photographic catalogs. In addition, the use of the AMBI marine biotic index is recommended and other traditional ecological descriptors.

9.3.4.4. Ichthyofauna

At the previously described fishing locations, two additional fishing locations should be added:

- At the mouth of the Santa Rosa marsh
- 1 Km to the south of Puerto Bolívar towards the mangroves of Isla Jambelí.

9.3.4.5. Marine mammals

Reports of marine mammal sightings shall continue to be made in the paths traveled by the marine biological monitors. This will include two paths towards the two additional monitoring points described in the previous point.

9.3.4.6. Sampling in the mangrove resources

Continue with the current monitoring plan:

- Standardized collection of bivalves: 1 hour of effort by a collector, suggesting the use of the same collector to avoid differences caused by collector ability. Following the collection of the sample, all of the individuals collected will be gathered at:
    - Jambelí, Vikingos del mar
    - Isla del Amor, (both at the beach as well as the internal mangrove)
    - La Playita

  Individuals should be counted by species, and the following variables should be obtained:

    - Valve diameter in mm
    - Total weight, the weight of soft parts in grams with 0.1 g of sensitivity
    - Percentage proportion of the soft parts

- In the Vikingos del mar association area, the same monitoring was performed for red crabs (*Ucides occidentalis*), reporting the weight and cephalothoracic width of the same (in mm).

9.3.4.7. Share specific biodiversity data of the project with the Global Biodiversity Information Facility (GBIF) and the relevant repositories of national and global data

To register and formalize data on biodiversity so that it is compatible with the SISBIO platform (National Database on Biodiversity of Ecuador), which is the national institution authorized to manage biological databases and whose work is replicated in the GBIF platform, to permit access to said data and reuse of the same in future decisions and research applications.

9.4. Management plan for beaching and collisions with marine mammals

9.4.1. Management plan for beaching

Ecuador has approximately 30 marine mammal species (dolphins, whales, and sea lions), 5 sea turtle species, approximately 60 shark species, and over 30 stingray species. Many of these species are affected by diverse impacts, including natural and man-made impacts. The majority of the non-natural impacts are caused by factors such as maritime traffic (collisions with vessels), pollution (hydrocarbon, solid waste spills dumping of untreated wastewater, plastic waste, noise), direct aggressions, and contact with fishing nets.

Although the causes of the beaching are often difficult to identify, especially when the individuals are found in a state of decomposition, beaching serves as a source of biological and ecological information on these species, since many of them are difficult to observe in the sea.

Types of beaching.

A beached animal is an animal that is found at the shore of a body of water, be it alive or deceased, or in a defenseless position, unable to return to its natural environment on its own.

For the case of pinnipeds, the term beaching is only applied when discussing deceased, injured or entangled animals, since in other cases, these animals may move on the ground and climb rocks naturally. Live pinnipeds on the beach do not require assistance unless they have been seriously injured.

Beaching may be classified by: the number of individuals (individual or multiple), the number of species involved or the physical state of the individuals.

Individual beaching. These are the most frequent. This considers solitary animals found on the beaches. They may be alive or deceased.

Massive beaching. This consists of various animals and generally occurs in various nearby points. This implies a massive death of marine animals and is a danger to public health due to the quantity of decomposing animals.

Strange beaching. These are cases in which only part of the animal is found, such as turtle shells or partial remains of dolphins, or in which females have beached with their offspring or in those cases in which the beached animals are not common in the region.

Beaching Network. In Ecuador, via Ministerial Accord 090 from August 21, 2018, the **Ecuadorian Network in Response to Beaching and Rescue of Marine Species - RERV**, has the objective of carrying out the follow-up and study of marine fauna, which, for distinct reasons, appears on the coasts of Ecuador, offering valuable biological information related to areas such as feeding, reproduction, development level and pathological affectations, which would be difficult or impossible to obtain through other methods; and in addition, it may serve

as a useful tool to determine the conservation state of the populations; these studies are carried out in collaboration with qualified specialists.

Scope.

This protocol establishes specific actions for each beaching and/or sighting of cetaceans, pinnipeds, sea turtles, whale sharks or stingrays, beached alive or dead, within the area of direct influence of the Port Terminal operations and its projects in the waters of the Santa Rosa marsh (dredging).

Responsible parties.

The following parties are responsible for the dissemination and application of this protocol:

- Yilport Terminal Operations (YILPORTECU) S.A. and its departments:
  - Department of Industrial Safety, Occupational Health and the Environment (HSE);
  - Operations Department
  - Department of Protection
- Port loading and service operators (OPC and OPSC)
- Contractors and their Subcontractors, including Security personnel
- Pilots.

Protocol.

In the case of the sighting of a beaching of any type (individual or multiple, strange, living or deceased animals), the observer, be it a collaborator from YILPORTECU, a contracting company, port operators, or service operators, should do the following:

1. Immediately report it to Security personnel and/or Pier Supervisors who are on shift, who will subsequently report it to the Department of SAFETY, HEALTH AND ENVIRONMENT (HSE) of YILPORTECU.

2. The HSE Manager receiving the notification will be entrusted with verifying the case at the location and notifying the authority via the **ECU 911** emergency line. The following information should be reported:

   a. Citizen's name

   b. Location of beaching

   c. Accessibility to the area

   d. Type of animal that is beached

   e. Number of beached animals

   f. Approximate size

   g. Sea conditions (high or low tide/waves)

   h. Condition of the animal (live, injured, deceased)

i. Cell phone number of a contact person.

3. The HSE Manager will convene the Emergency Brigade in the beaching area to provide assistance and support as necessary, to the best of its abilities.
4. The necessary provisions should be provided to establish a sanitary cordoning off of the area where the beaching occurs and prevent the approach of by-passers and individuals from outside of the institution until the designated environmental authority has arrived.
5. The alerting party or its delegates should remain at the beaching site to observe the location's conditions and report them to the authority when so required.
6. The HSE Manager will initiate the following actions:
    - Provide activities for the members of the participating Emergency Brigade.
    - Coordinate the establishment and maintenance of the sanitary cordoning off of the area with the corresponding authorities.
    - Implement normal communication channels with distinct participants.
    - Conduct a detailed external inspection in search of parasites, marks, scars, fishing nets, or any other sign that may assist in determining the death.
    - Photograph the animal, first overall at different angles (frontal, lateral, dorsal, ventral) and then, by body parts, head (mouth and teeth), genital area, dorsal fin, tail, emphasizing with close-ups of areas with injuries, pigmentations, parasites or any other anomaly.
    - In the case in which the beached animal is alive, and there is evidence of human artifacts that may have harmed it (fishing nets, hooks, cords, plastic and others), these materials should be removed, assuming that the animal cannot move and does not represent a threat to the personnel. The removed elements should be placed in plastic bags and delivered to the Authority.

- Taking morphometric measurements with a tape measure according to the field records of each species (see Annex III. Stranding registration formats).

1. Yilport personnel and the Emergency Brigade in the stranding area will join the Ecuadorian Marine Stranding Response Network team to provide the necessary assistance and support within their capabilities and availability. The Authority shall designate a **STAFF MEMBER** responsible for the decision-making and course of action to be followed and requesting and allocating available resources to the various tasks to be carried out.

9.4.2. Plan for preventing collision with whales and other marine mammals

The humpback whale (*Megaptera novaeangliae*) is widely present throughout the world's oceans, although they prefer coastal areas less than 200 m deep to reproduce. There are different populations of humpback whales in both hemispheres, divided in turn into various stocks. In the southern hemisphere, the International Whaling Commission (IWC) recognizes 7 different stocks, referred to by letters A through G, each related to one side of each continent and the other in the center of the Pacific Ocean. The population of the Southeast Pacific is known as the Reproductive Stock G.

In mid-August, when most births occur, mothers seek shallow areas to carry their offspring, usually 20 m or less. No high-concentration sites of mothers with young offspring have been found on the coast of Ecuador; rather, whales appear to be distributed along the country's entire coast. However, based on satellite information, it was found that the Gulf of Guayaquil would possibly be the most important breeding area for humpback whales in Ecuador. Other areas of the country with appropriate topographic conditions for breeding would be located west of Puerto Cayo and Cojimies in Manabí, off the coast of Esmeraldas, and north of Salinas in Santa Elena. The reason for this more coastal distribution of mothers with offspring would be to protect them from killer whales and sharks that are known natural predators of whales. There are two records of killer whales attacking humpback whales around La Plata Island. For this reason, when mothers with young offspring begin their trip to Antarctica at the end of the season (late September and October), they do so by bordering the coast and it is possible to observe them in many places from the shore.

Scope

This Protocol sets specific actions in the case of sightings of cetaceans, pinnipeds, sea turtles, whale sharks, and manta rays; In the areas: where dredging work is carried out (access channel, maneuvering zone, and piers in Puerto Bolivar), the sediment deposit area in the open sea, the sediment transfer route between the two zones, and the transit areas of service vessels, platforms, and barges, linked to the construction of Pier 6.

Responsible

The following are responsible for the dissemination and application of this protocol:

- Yilport Terminal Operations (YILPORTECU) S.A. and its units:

  - Projects Department
  - Department of Industrial Safety, Occupational Health, and the Environment (HSE).
  - Operations Department.
- Pier 6 dredging construction contractors, and their corresponding subcontractors.
- Captains of the dredger ship, platforms, barges, service vessels; and their corresponding crews.

Preventive Measures.

During the whale watching season, from June 1 to October 31 of each year, the following actions must be taken:

- As soon as it is safe and practical to do so, vessels must set a speed of no more than 10 knots.
- During the construction works of Pier 6, and in case of extraordinary execution of dredging activities, an expert marine biologist and assistant equipment must be provided onboard the vessel, which will act like a whale-watching watch, and in the case of the detection of an individual or group of marine mammal individuals within the direct influence area of the project, shall lead the actions of:
  - Evasion
  - Temporary suspension of activities
  - A daily report of sighting and application of this protocol

Protocol in Case of Sightings.

Once, using navigation and remote sensing instruments (e.g., high-range radar or binoculars), or by direct observation, the presence of one or more individuals of the species covered by this protocol is established, the captain of the vessel shall execute the following under the direction of the leader:

i. Deceleration of the vessel to the minimum speed, to reach 400 m of the individual or group of whales and keep it constant.
ii. Watch carefully and evaluate the direction and speed of the whales and their diving pattern to establish the route to continue avoiding colliding with the animal(s). A distance of at least 100 m. must be maintained; this will help reducing ship path corrections by minimizing discomfort to whales.
iii. Continue at a maximum speed of 4 knots until whales pass or change course.
iv. If the whales are in surface activity with jumps and particularly with repeated blows of fins and tail, proceed with even more caution and maintain a distance of 100 m, as the vessel's presence may interrupt periods of socialization.
v. If the sighting involves groups where there are young offspring, the evasive maneuver must be done with more care since they are very curious and sometimes try to approach boats. The mother can interpret this as a hazardous situation and will try to keep the younger ones away from where it occurs, which can lead to risky situations

That is preferable to avoid. Never attempt to intervene with the boat between the mother and the baby.

vi. The discharge of sediment using the bottom gates shall be suspended until the individual(s) have moved away from the area at least 400 meters.

vii. Once the individual or group moves away from the ship, restart activities progressively, avoiding abrupt acceleration and movement.

Protocol in the Event of a Collision:

In the event of a collision with one of the species considered in this document, the Sighting Leader shall:

i. Report the following information immediately to the YILPORTECU Operations area on Radio Channel 16:
   a. Type of animal or animals affected.
   b. Number of animals affected.
   c. Approximate size
   d. Sea conditions (high and low tide/waves)
   e. Condition of the animal (alive, wounded, dead)

ii. The CCTV Head or *Planner* who receives the ship's communication must urgently retransmit this information to the Head of the HSE Department of YILPORTECU.

iii. Based on the information provided, the HSE Manager at YILPORT will issue a notification to **ECU 911**.

Depending on the instructions received by the Authority (Ministry of Environment and Water), the **PROTOCOL FOR THE RESPONSE TO MARINE MAMMAL STRANDING** will be activated**.**

All actions must be included in a report that collects the information necessary to identify the animal(s) involved, place, and conditions of the collision, and others detailed in Annex IV of this document and must be kept in files of the HSE department.

9.5. Critical Habitat Management Plan

The project and its area of influence are framed within areas identified as critical habitats as defined in IFC Performance Standard 6. While it is emphasized that the project will not generate direct impacts on these habitats, their implementation in an area where they are located must involve tangible benefits linked to conservation goals. To this end, a portfolio of support initiatives is proposed to manage AUSCM, RMISC, and in general, the development of management capacities for conservation both to the public institutions with competence in the area (MAAE and RMISC park rangers). as to social organizations of

ancestral villagers and traditional mangrove users.

To achieve one of these initiatives, participation and even the signing of commitments with other social institutions and organizations will be required in advance, and agreement to work together on the issues considered a priority by the parties; therefore, the selection of the initiative(s) that will eventually be implemented shall be made based on a feasibility assessment that will be achieved in initial stages. Similarly, the proposed budget is referential, and the actual amount committed will depend on the definition of issues and objectives.

These initiatives are:

No.	Initiative	Beneficiaries	Duration (years)	Total Cost (USD)	Means for verification	Person in Charge
1	Raising awareness among YILPORT staff on critical habitats in project AID (biannual)	YILPORTECU Staff San Antonio Tourist Assoc.	6	15,000.0	Photo record and visit script	HR-HSE
2	Support and equipment for patrolling in RMISC (biannual)	MAAE	6	22,500.0	YILPORT-MAAE Cooperation Agreement, Annual Evaluation Reports	Directorate
3	Recovery of the mangrove natural zoning (reforestation) in the area of Isla del Amor	Community organization of traditional mangrove users	6	47,747.0	Technical report and process publications	HSE
4	Financing of the Mangrove Partner Program for AUSCM in AID	Community organization of traditional mangrove users	3	49,211.0	YILPORT-MAAE-Social Organizations Cooperation Agreement	Directorate
5	Research project financing: - Carbon capture in mangroves within the AID -	Scholarship - Research University or Institute	4	48,400.0	YILPORT-MAAE COOPERATION AGREEMENT, TRANSFER CERTIFICATES, RESULTS REPORTS	Directorate
6	Support institutions with expertise in marine-coastal areas for the establishment and monitoring (five-year) of the status and trend of Mangrove Forests (ICTBM) within the area of direct influence	Scholarship - Research University or Institute	10	75,000.0	YILPORT Cooperation Agreement-Institutions, academic publications, reports, and/or technical reports	Directorate

7	Support the integration of "Community Scientific Station" for monitoring and mangrove studies (biannual): Mangrove structure and coverage, carbon stocks, species identification	University - Organizations of ancestral villagers and traditional users	10	72,000.0	YILPORT Cooperation Agreement- Institutions, academic publications, reports, and/or technical reports	Directorate

9.6. Cumulative Impact Management Plan

One of the alternatives that could improve in some way the management of cumulative impacts since the expansion project of Puerto Bolívar phase 1, could be to assume guidelines associated with Environmental Management Regulations that bundle the leading company to its suppliers and customers, as are ISO regulations, or include them as requirements in the hiring of suppliers and services.

9.6.1. Actions to promote

To encourage and strengthen the culture of environmental management of the project and the undertakings in the area of influence, with emphasis on those that may have a relationship with Yilportecu, the actions described in Table 18 are set forth.

Proposed management measure	Objective	Responsible	Indicator	Observation
Water quality monitoring at control points established in the Santa Rosa plant (6 points included in the baseline) and the sediment cube in the open sea (1 point inside and a control point outside the dispersion area and evaluate them according to Table 2 in Annex 1 of Book VI of TULSMA (A.M. 097 – A).	Monitor the water quality of the estuary to detect possible affectations.	HSE Management	% of execution versus planned	Monitoring points are established in the current WFP.
Soil quality monitoring at points established in the Santa Rosa Estuary (6 points included in the baseline) and evaluating them according to Table 1 of Annex 2 of Book VI of TULSMA (A.M. 097 – A) and the Canadian Environmental Quality Guidelines.	Monitor the quality of the sediment in the mat to detect possible affectations.	HSE Management	% of execution versus planned	Monitoring points are established in the current WFP.

Collaborate in the development of joint initiatives to reduce waste discharges to the Santa Rosa estuary, together with fishermen's trade organizations, residents, and public institutions with competence in the field (municipal government and MAAE).	Reduction of load of discharges into the estuary.	HSE Management/ Project Department/ HR Department	% of Plan implementation developed relative to plan.	To be developed within the current WFP Community Relations Plan and corporate sustainability initiatives.
Include in terms of reference for contracting and/or purchasing services the following conditions: - The contractor and/or supplier shall carry out collecting and managing common and recyclable wastes according to Technical Standard NTE INEN 2841:2014-03. - The contractor and/or supplier shall carry out the collection and management of hazardous and special wastes in accordance with the provisions of A.M. 061, Art. 93 hazardous waste storage locations, and technical standards INEN 2266 and INEN 2841 where applicable.	Reduce generation and mismanagement of common and hazardous wastes.	HSE Management / Projects Department/ Legal Department/ Purchasing Department	implementation % (number of suppliers included vs. total)	
Include in the Supplier's Audit Criteria verification of compliance with the conditions described in their facilities within the Port Terminal and the project's area of influence.		HSE Management	Supplier Evaluation Statistics.	

Implement and extend to contractors and/or service providers the adoption of the "Protocol of Action to Prevent Collisions with Whales and Other Marine Mammals" if it occurs. A report format should be included for each occasion the measure is executed.	Provide adequate response and follow-up for possible impacts on marine fauna.	HSE Management / Projects Department / Legal Department / Purchasing Department / Operations Department	implementation n % (number of suppliers included vs. total)	Current WFP-included measure.
Implement and extend to contractors and/or service providers the adoption of the Marine Mammal Stranding Response Protocol if it occurs. A report format should be included for each occasion the measure is executed.				Existing protocols under review.
Monitoring of major marine communities: Plankton, nekton, and benthos, fisheries productivity, and description of protected marine fauna activities, at monitoring stations established in the current WFP.	Characterize the state of major marine communities, fisheries productivity, and protected marine fauna.	HSE Management	Biological diversity and richness. Biological descriptive	Monitoring points are established in the current WFP.
Monitoring of mangrove productivity for mollusks and crustaceans in user-identified productivity areas (PAP) within the areas with AUSCM of the Santa Rosa estuary set forth in WFP. This should include monitoring of the identification and registration of fish species in the area, carried out using standardized sweep net sets or another method suitable for the area.	Characterize and monitor mangrove productivity for mollusks and crustaceans.	HSE Management		
A five-year update of the study of Bioaccumulation of heavy metals in bivalves (Anadara tuberculosa) at the 4 sites included in this report.	Characterize the state of bioaccumulation in fishery resources (PAP).	HSE Management	Studies carried out	

Implement and socialize with fishing organizations the Communication Protocol as a means of channeling possible impacts on fishing activity. Before the start of dredging or construction activities, public entities with competence in the Area of Influence should be provided information on the activities to be carried out, working hours, and restrictions (if any) at least 1 week before starting works.	Provide relevant information promptly and avoid conflicts with social actors.	Management / HSE Management / Projects Department	Records and communications tracking.

10. Fortuitous Findings Management Plan

10.1. Objectives

- Anticipate and lessen the likely impacts on cultural heritage.
- Mitigate potential impacts through research.

10.2. Scope

This procedure is set forth for construction activities of Pier 6, and others that require excavations and ground movement, in addition to access channel dredging activities and maneuver areas.

10.3. Responsible

The Project Department of Yilport Terminal Operations (YILPORTECU) S.A. is in charge of implementing this Archaeological Findings Management Plan. This responsibility shall be extended to contractors and subcontractors who carry out activities within this plan's scope.

10.4. Mitigation and Archaeological Contingency Protocol

During the execution of excavations and soil movement, the following actions must be performed:

- Supervision of monitoring equipment specialized in archeology detects the possible presence of superficial or subsurface pre-Hispanic archaeological vestiges.
- If traces are found, the work in this sector must be stopped, for the relevant recording of the findings (three-dimensional location, plot, photograph).
- If for any reason, someone outside the archaeological monitoring team finds archaeological remains during the construction stage, they should not be retained by the site personnel but should be communicated to the archaeological monitoring team, or in the absence of this, the Zonal Directorate 7 of the National Institute of Cultural Heritage should be notified to proceed in accordance with their recommendations.

11. Contractor Performance Monitoring Plan

11.1. Objectives.

- Ensure project contractors and subcontractors comply with the Environmental and Social Management Plan, regulations applicable to their activities, and the environmental and social policies of Yilport Terminal Operations (YILPORTECU) S.A.

11.2. Scope

This procedure is established for the expansion activities of the Puerto Bolívar Phase 1 expansion project, for the construction works of Pier 6, and dredging activities in the access channel and maneuver zones.

11.3. Responsible

The Projects Department at Yilport Terminal Operations (YILPORTECU) S.A. is responsible for implementing this Contractor Performance Monitoring Plan.

11.4. Proposed measures

The Contractor shall be obliged to comply with the environmental and labor regulations of the project, the socio-environmental policies of Yilport Terminal Operations (YILPORTECU) S.A., and the specific measures of its approved Environmental Management Plan. Shall also extend this responsibility to subcontractors and suppliers.

Contractors will be required, through their work or service contract, to:

- Have an environmental department, which ensures the prevention, mitigation, and control of environmental and social impacts within its activity.
- Prepare a monitoring or control report on environmental and social measures and/or environmental obligations arising from the environmental permit of their activity. This report may be an integral part of the technical audit determined for the project.

For its part, Yilport Terminal Operations (YILPORTECU) S.A., must:

- Set a program of weekly inspections of the work or service in execution, to verify onsite the compliance of environmental and social measures, and the environmental regulations applicable to its activity.
- Keep a record of the visits, and in the case of findings, prepare a report which shall be delivered to the contractor, who must respond in writing and documenting the justifications, and emerging actions to be carried out, if the case may be.

- Perform an annual Technical and Legal Compliance Audit to subcontractors, including:

    - Updated environmental regularization (compliance with obligations such as Annual Report, Environmental Audit, Hazardous Waste Generator Registry, and other acquired environmental obligations).
    - Training records and evaluation in environmental issues.
    - Other requirements are outlined in the Environmental Management Plan and Environmental and Social Management Plan.

12. Management Plan for Emissions, Wastes, Effluents, and Discharges in the Construction Phase

12.1. Rationale and objectives

Work fronts are generally areas of concentration of workers for long days and are far from other facilities such as restrooms, dining rooms, or offices, which makes it convenient for supplies and services to be brought there. As a result, we have the obvious generation of waste and effluents on the work front, waste that must be managed correctly, to prevent it from generating negative environmental impacts, temporary or permanent, on the soil, or the water of the construction areas or surrounding sites.

12.2. Scope

This procedure is established for the constructive activities of Pier 6, and in general, work fronts for the expansion activities of the Port Terminal.

12.3. Responsible

The execution of this plan is the responsibility of the Project Department of Yilport Terminal Operations (YILPORTECU) S.A., through contractors and subcontractors who carry out the activities within the scope of this Plan.

12.4. Management plan for liquid effluents during construction

- During the construction period, the installation of hygienic services must be ensured, in sufficient quantity and adequate quality. Hygienic services must be equipped with water, soap, and toilet paper.
- The number of hygienic services required, duly separated by sex, as set out in the Ecuadorian regulations, is as follows:

WC	1 per 25 males or fraction 1 per 15 women or fraction
Urinals	1 per 25 males or fraction
Showers	1 per 30 males or fraction 1 per 30 women or fraction
Washbasins	1 per 10 workers or fraction

- For the work fronts, chemical baths or temporary fixed sanitary batteries may be installed. The following selection criteria are proposed:

Fixed sanitary battery:	- More than 250 workers - Location less than 500 m from the project's sanitary sewer facilities - Duration greater than six months
Chemical Baths:	- Fewer than 250 workers - Location to more than 500 m of the project's sanitary sewer facilities - Less than 6 months in duration

- Fixed sanitary batteries must be installed in such a way that they are supplied from the Yilport Terminal Operations (YILPORTECU) S.A. drinking water service, and that the black and gray waters are sent to the collection and treatment system of the Port Terminal. Once the construction activities have been completed, these temporary constructions must be uninstalled, leaving the area in the same conditions before installation.
- In this case and considering the existing wastewater treatment capacity at the Terminal, the alternative of implementing a modular, containerized wastewater treatment plant installed in a defined area within the camp and/or site fronts may also be considered, and that it be emptied (its sludge and sediments) according to the capacity and technical specifications of the same, by an authorized service of transfer of effluents to the municipal oxidation lagoons. The treated waters may be discharged into the port terminal's sewerage system.

- Chemical baths, also known as portable toilets, are portable sanitation units, which consist of a hygienic service that is located on an airtight tank with a chemical solution that facilitates the digestion of excreta and reduces bad odors. Cleaning and disinfection of chemical baths should be carried out at least twice a week or when necessary, according to the intensity of use. This cleaning may be provided by the service provider, or otherwise, an authorized supplier will be hired to do so.

12.5. Solid waste management plan during construction

- For the collection and classification of non-hazardous wastes, NTE INEN 28:41:2014-03 should be used.
- Implement solid waste collection and recycling centers on work fronts. Signage should be implemented, and staff trained, for wastes to be properly classified, and never disposed of outside the waste collection stations.
- Where possible, avoid food suppliers delivering food in single-use plastic containers. If it is identified that plastic wastes whose origin is the supply of food to workers are being accumulated in construction areas or on the beach line, the area will be cleaned up immediately, and talks will be given to workers, for them to take corrective action.
- Common waste must be evacuated daily through the municipal collection service. If the contractor is unable to provide the service, the contractor must hire a supplier to transport the waste and deliver it to the municipal landfill. This supplier must be authorized to perform this activity and must provide the Contractor with evidence of the delivery of the waste to the landfill.
- The surplus materials of the basic work (rubble) or those generated by other structures (if any) shall be placed in zones intended for such purpose approved by the municipality, or shall be reused in landfills within the project, being first fractionated or reduced, to improve performance.

12.6. Management plan for hazardous waste during construction

Project contractors operating inside the Port Terminal, and generating hazardous and/or special wastes, shall keep up to date with administrative obligations concerning this environmental aspect, or in its absence, to carry out the management of these according to the requirements of the environmental obligations assumed by Yilport Terminal Operations (YILPORTECU) S.A., which are:

- Obtain Hazardous Waste Generator Registry
- Develop Hazardous Waste Minimization Plan
- Annual Hazardous Waste Declaration and Results Report of the Minimization Program.
- Update of RGDP when required by the Environmental Authority.

To do so, the company must implement and maintain the following activities and infrastructures:

- Adequate facilities for the storage of the generated hazardous wastes: A collection center meeting the requirements of environmental regulations, i.e.: waterproof flooring, waste compatibility considerations in storage, signage, cover and ventilation, containment cubits, and spill cleaning elements, as well as fire extinguishers.

- Manage hazardous wastes through accredited environmental managers.
- Deliver the waste generated at least once a year.
- Maintain the proper archive of waste input and output logs, delivery statements (single statement), and certificates of destruction (final disposition), of managed wastes.

12.7. Plan for noise prevention and mitigation during construction

- Prohibit the use of horns in the revenue to the construction area.
- Minimize the use of audible alarms to the essentials.
- Plan activities that generate the greatest hearing impact to be carried out during the day.

12.7.1. Underwater noise control during construction

Although there are no local environmental regulations in this regard, it has been found that underwater noise can cause effects on marine fauna, in particular marine mammals, which are overly sensitive to noise. However, as described in Book IV.B. Biodiversity Baseline, the presence of marine mammals is limited to a colony of sea wolves (about 800 specimens) that inhabit the island of Santa Clara (50 km), while the humpback whales do not approach less than 60 km from the coast, and the bottlenose dolphins seen in the areas closest to the access canal come from Posorja, 63 km from the project area.

It is therefore recommended that a measurement of underwater noise be made during the pile swelling, to allow the intensity of the underwater noise to be known, taking as reference the values reported for affectations to marine fauna (Ian Stewart, Genesis Oil and Gas Consultants, 2010).

12.8. Plan for prevention and mitigation of accidental spills during construction.

- Comply with technical regulations for storage of hazardous chemicals: spill containment cubes, waterproof floor, storage tank sealing, signage, etc.
- Do not clean, wash, or maintain machinery on the ground or next to bodies of water. Carry out these activities in workshops or areas arranged for this purpose.
- Maintain spill cleaning kits in each chemical and hydrocarbon storage area: shovels, absorbent material, tacks, or collection bags.
- Always keep water spill kits available.

13. Community Health and Safety Plan

13.1. Objectives.

- Have measures to anticipate and avoid the health and safety risks of the potentially affected communities, both inside and outside the Port Terminal.
- Establish mechanisms to assess the status of health and safety indicators of potentially affected communities.

13.2. Scope.

This Plan contains the measures and actions necessary to prevent and counteract the risks and impacts on the health and safety of communities that may be affected throughout the project's life cycle.

The guidelines of the World Bank Group on Environment, Health, and Safety (MASS) or other internationally recognized sources have been used to identify appropriate measures to act on these risks and impacts.

13.3. Responsibilities

The HSE Department will be responsible for implementing this plan, and it will also be extended to the Expansion Project Contractors through its General Management and HSE Department.

13.4. Disclosure.

This plan should be disclosed to the communities potentially affected by the project. Where complex health and safety aspects are presented at the different phases of the project, it may be desirable to hire outside experts to conduct an independent evaluation, helping to identify risks and impacts required by Performance Standard 1 that can be fed and strengthened during the project cycle.

13.5. Proposed measures

13.5.1. Disease control

Vector cleaning and control

Both Yilportecu staff and project contractors, through their departments of Maintenance and Safety, Health, and Environment (SSA, HSE, or other designation) will continue to do the following:

i. Routine maintenance of all project areas and work fronts, order control, and cleaning. Accumulation of standing water and garbage deposits in the open air should be avoided. Check for clean and clear drains.
ii. Periodic maintenance (at least monthly) of the rainwater drains. During the rainy season, it should be weekly.

iii. Continue periodic inspections of bathrooms, dining room, and restrooms. Cafeterias should receive special attention on disinfection and general hygiene.
iv. Maintain periodic fumigation plan for vector control, at work fronts, warehouses, yards, and offices. The frequency will depend on the season of the year and the type of vector to be controlled.
v. Perform a monthly cleaning and disinfection of the areas outside the Port Terminal to promote cleaning through campaigns to sensitize workers not to use exterior spaces as bathrooms or landfills.
vi. Timely management of tanks, drums, and other containers of hazardous and non-hazardous substances through MAAE-authorized managers. Maintaining optimal conditions at the Hazardous Waste Collection Center according to NTE INEN 2266, until delivery to the manager. Tanks, drums, and other containers should be drilled in their base, to prevent them from being collected by villagers in the sector for domestic or commercial use.

Prevention and control of diseases in staff

Both Yilportecu staff and project contractors, through their Departments of Safety, Health, and Environment (SSA, HSE, or other designation) will continue to do the following:

i. Training of staff in preventive measures and good health practices. The following topics should be addressed, with the schedule established by each medical department:
    - Ergonomic care training
    - Cardiovascular health and EKG
    - First Aid Workshop
    - HIV - AIDS prevention
    - Sexual and reproductive health
    - Prevention of alcohol and drug use
    - Awareness-raising to prevent gender-based violence.
ii. Continue with the following preventive campaigns:
    - Deworming campaign
    - Vaccination campaign
    - Active break campaign
    - Diabetes prevention campaign
iii. Medical care on-site
iv. Medical follow-up through Pre- and Post-Occupational Health Forms, preventive, and special examinations.

Protocols concerning COVID 19

Both Yilportecu staff and project contractors, through their Departments of Safety, Health, and Environment (SSA, HSE, or other designation) will continue to do the following:

i. Adopt the Good Health, Safety, and Hygiene Practices for the Prevention of the Spread of Covid-19 and Other Infectious Diseases (ANNEX 1) in developing projects funded by the IDB. The purpose of this Technical Note is to provide safety, health, and hygiene recommendations for the prevention of infectious disease infections, as well as to indicate recommendations for preventing infection and responsibly managing the situations of personnel infected, including possible cases of COVID-19.
ii. Continue with the requirement for the submission of COVID-19 tests to contractor and subcontractor personnel and the implementation of the current Biosecurity Plan (YECU-EHS-01-07-V9_BIOSECURITY Plan), and recommendations for best practices from local health authorities and competent multilateral agencies (PAHO/WHO).

13.5.2. Mobility and traffic impact control

Ground traffic impact control

Both Yilportecu staff and project contractors, through their Departments of Physical Safety, Health, and Environment (SSA, HSE, or other designation) will continue to do the following:

i. Assess existing risks where members of the public will have access to new construction sites or structures, including the possible exposure to operational accidents or natural hazards, and will be consistent with the principles of universal access.
ii. The implementation of structural elements that allow universal accessibility (ramps, railings, emergency accesses, others) shall be designed and constructed by qualified professionals and shall be certified or approved by competent authorities or professionals. In the case of mobile equipment on public roads and other forms of infrastructure, precautions should be taken to prevent the public from being affected by incidents and injuries related to the operation of such equipment.
iii. Implement with transit authority:
    - Safe pedestrian steps in the areas surrounding the Port Terminal's entrance.
    - Signs on the port access road, indicating the permitted speed limit for cargo vehicles.
    - Traffic lights and organization, in the arrival and departure of vehicles in the Port Terminal.
iv. If more than 10 vehicles are expected to be in or out of the Terminal, designate a traffic controller, which monitors the progress of vehicles in groups of 5 units. All other units must remain on standby with the engine off.
v. Implement clean points (waste sorting sites) in the Waiting Area inside the Terminal, so that carriers can dispose of the waste generated on their route properly.

vi. Implement a formal commitment with carriers and their guilds to:

- Comply with and follow the traffic controller's guidelines in case waiting queues are expected to enter and exit the Terminal.
- Prioritize the use of visible signals such as flashing lights, rather than audible signals. If required, audible signals must not exceed permissible noise limits.
- Correct final disposal of solid waste generated in transport.

vii. Maintain and update feature indicators as:

- Times of permanence and anchorage of vessels in port.
- Wait time for transport units to enter and exit.

And analyze their developments at least quarterly, to take additional measures if necessary.

viii. When subcontractors carry out transportation-related activities, Yilportecu must use commercially reasonable efforts to influence the safety of these service providers, contractually requiring the analysis of traffic safety risk and the adoption and implementation of driver safety programs. For this, it is important to comply with emergency preparedness and response to road emergencies that address emergency driver and third-party assistance contingencies equally, especially in remote locations or situations with little capacity to cope with emergencies involving traumatic and other serious injuries.

ix. Where new buildings have public access, the design must be consistent with the principles of universal access. The issue of accessibility is one of the key principles of the Convention that 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 Convention as follows: “the design of products, environments, programs, and services that can be used by all people, to the greatest extent possible, without the need for adaptation or specialized design. The “universal design” will not exclude technical support for particular groups of people with disabilities, when needed.” The concept of “Reasonable adjustments” can be used in situations where Universal Design alone is insufficient to remove obstacles to accessibility. As defined in the United Nations Convention, “Reasonable adjustments” means “necessary and appropriate modifications and adaptations that do not impose a disproportionate or undue burden, when required in a particular case, to ensure enjoyment or exercise by persons with disabilities, on an equal footing with others, all human rights and fundamental freedoms”.

Maritime traffic impact control

Both Yilportecu staff and project contractors performing water body operations, through their Departments of Physical Safety, Health, and Environment (SSA, HSE, or other denomination), in the event of impasses with fishing, commercial or tourist vessels, in the maneuvering areas or access channel, it is needed:

i. In the event of an inrush or blocking of the access channel or maneuver zone, the vessel will be assisted in communicating to the vesselship transit zone and requesrequesting If necessary, the fact will be reported to ECU 911, from where the Captaincy of Puerto Bolívar is informed for intervention. If there are any complaints from the occupants of the vessel, proceed following Measure 7.3. Attention to suggestions, complaints, and reclamations.

ii. Disseminate this plan to fishermen and their guilds, being the main actors in the project's area of influence.

iii. Set discussion tables with the mediation of representatives of public institutions and/or social facilitators, in case of disputes or claims.

13.5.3. Project infrastructure security

Infrastructure

During the design stage, to ensure the reduction of possible safety risks, the following measures must be considered:

i. Inclusion of a seat belt or other methods of physical separation around the project site to protect the public from the main risks associated with hazardous material incidents or process failures, as well as noise, odor, and other emission-related inconveniences.
ii. Incorporating technical safety criteria and site selection to prevent accidents caused by natural hazards such as earthquakes, tidal waves, wind, floods, landslides, and fires. All buildings must be designed according to technical and design criteria based on site-specific hazards but not exclusively, seismic activity, soil stability, wind intensity, and other dynamic loads.
iii. Application of local or internationally recognized building codes and regulations to ensure that buildings are designed and built following good architectural and engineering practices, including fire prevention aspects and fire emergency plans.
iv. Technicians responsible for designing and constructing facilities, buildings, plants, and other structures must demonstrate proven experience in designing and constructing projects of similar complexity. Qualifications can be demonstrated through the combination of formal technical training and practical experience, or membership in a more formal professional association, national and international certifications.

v. For complex structures, the need for prior certification and approval of structural elements and engineering safety skills, including geotechnical, structural, electrical, mechanical, and fire specialties, must be established by professionals from national or international professional organizations authorized to perform these tasks, and/or local regulatory agencies that control these matters. Buildings accessible to the public must be designed, built, and operated in full compliance with the local building code(s), fire department standards, local legal/insurance requirements, and following an internationally accepted life and fire safety standard (L&FS[1]).

vi. While major design modifications are not feasible for ongoing projects, risk analysis can be performed to identify opportunities to reduce the consequences of a failure or accident. For example, reduce the likelihood and consequences of accidental leaks, spills, or leaks of hazardous materials by:
   - improvements in inventory and process management.
   - improvements in operations and control systems.
   - maintenance and inspection activities; and
   - improvements to existing equipment and infrastructure.

Port maritime operation

Both Yilportecu staff and port operators (OPC, OPSC) operating inside the terminal, through their Departments of Physical Safety, Health, and Environment (SSA, HSE, or other designation) will continue to implement and continuously improve their respective security management systems (SMS) that are capable of effectively identifying and correcting unsafe conditions, including:

i. Procedures for regulating the safe movement of vessels within the port (pilotage, port control, and ship traffic services, navigation aids, and studies of hydrography, among others), actions to protect the public and surrounding communities from hazards arising from the open sea and port activities, and to prevent events that could result in injury to workers and the public, including fishermen and recreational users.
ii. Comprehensive emergency preparedness and response plans, which provide a coordinated response based on government, port authority, port users, and community resources needed to manage the nature and severity of the emergency event, Included or complementary to Document YEC-EHS-01-010-V3_Oil Spill Contingency Plan and the National Plan.

[1] Available at https://www.ifc.org/wps/wcm/connect/3590ce6b-b3ab-42b8-b061-416719168937/Life%26FireSafety.pdf?MOD=AJPERES&CVID=jqeIe4L

Port security

Both Yilportecu staff and project contractors, through their Departments of Safety, Health, and Environment (SSA, HSE, or other designation) will continue to do the following:

Periodic training of port operators on their responsibilities, including international legal and technical obligations, to provide security to passengers, crews, and personnel at the port, following the provisions of the current PBIP Compliance Statement of the Port Terminal.

13.5.4. Emergency and contingency

Both Yilportecu staff and project contractors, through their Departments of Safety, Health, and Environment (SSA, HSE, or other designation) must:

i. Plan and execute, together with the competent authorities, an annual drill involving the community: Public institutions, educational institutions, guilds, and other actors within the area of potential involvement, for fire and explosion events, floods and tsunamis, evacuation.
ii. Develop posters, diptychs, or other information mechanisms to disseminate the emergency and contingency plans of the project to natural and anthropic events that may generate community affectations. This information should contain the main actions to be taken in the event of an emergency.
iii. Provide relevant local authorities, emergency services, and affected communities and other social actors with information on the nature and scope of environmental and human effects that may result from routine operations and unplanned emergencies at the project site.

Information campaigns should describe appropriate behavior and security measures in the event of an incident and actively seek the affected community's views or other social actors about risk management and preparedness. Consideration should also be given to the inclusion of the affected Community and other social actors in regular training exercises (e.g., simulations, exercise evaluations, and actual events) to familiarize them with appropriate procedures in case of emergency. Emergency plans should address the following aspects of preparedness and response:

- Specific emergency response procedures.
- Trained emergency response teams.
- Contacts and communication systems/protocols in case of emergency, including notification to authorities, emergency services, and neighboring communities affected or susceptible to compromise.
- Procedures for interaction with local and regional emergency and health authorities

- Permanent emergency equipment and facilities (first aid stations, fire extinguishers and hoses, sprinkler systems)
- Protocols for emergency vehicle services such as auto pumps, ambulances, and others
- Evacuation routes and meeting points
- Drills (yearly or more frequently as needed)

13.5.5. Community Impact Prevention Plan for Physical Security Services

Both Yilportecu staff and project contractors, through their Departments of Physical Security and Human Resources, must implement physical security service contracting protocols that include:

i. Conduct reasonable investigations to ensure that security officers have not been involved in past abuses.

ii. Continue with the demand for ongoing training in the proper and proportional use of force (and, where appropriate, firearms), appropriate behavior toward the workers and communities concerned, and respect for applicable law, and good international practices (e.g. United Nations Code of Conduct for Law Enforcement Officials and UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials).

iii. In no case shall the use of force be approved, except for preventive and defensive purposes proportional to the nature and extent of the threat.

iv. The complaint handling mechanism of affected employees and communities should also consider the concerns of these groups regarding security arrangements and the actions of security personnel.

v. Consider and, where appropriate, investigate any reports of illegal or abusive acts of security personnel, take measures (or urge the relevant parties to take them) to prevent such acts from recurring, and report such acts to the public authorities.

14. Plan for Emergency Preparedness and Response

14.1. Objective

Preserve the human life of each person who in one way or other works within the YILPORT - TERMINAL OPERATIONS (YILPORTECU) S.A. facilities, then to protect the infrastructures and to restart normal activities in the event of a disaster, communicate to communities through effective and efficient communication channels in coordination with the RISK CENTER and the ECU 911 to minimize the impact of an emergency and its potential consequences.

14.2. Scope

The EHS Emergency Preparedness and Response Plan of YILPORT - TERMINAL OPERATIONS (YILPORTECU) S.A., applies to all activities carried out by YILPORT - TERMINAL on different types of catastrophic events.

The different causes of possible total general evacuations of staff to the meeting points or concentration point are for the different reasons subscribed at the top. For this reason, it is necessary to consider the resources necessary to mobilize and make all activities effective.

The plan is framed in the event of direct affectation by a possible unwanted event in case of emergencies, for which it has been defined as direct recipient actors to neighboring communities, groups of cooperatives, universities and neighboring education centers, state entities, subcontractors, clients, shareholders, suppliers, employees, workers, communities and neighboring companies, shipping lines, ships, and crew personnel, all wrapped in the range of action of the possible affectation. The communication channel will then be when the emergency has reached a level of control by the state's professional emergency institutions so that effective communication is carried on such action area.

14.3. Responsible

The procedure is designed so that the responsibilities of managing the resources are entirely the responsibility of the “INCIDENT COMMAND” so that for each case they will be responsible for each of the institutions of the Ecuadorian state, Firefighters of the GAD of Machala and its department of specialization, The capital of ports of the National Navy of Ecuador, the GAD of Machala, the Provincial council of El Oro and the national secretary of risk management provincial among others as the most principal, depending on the degree of risk and the identification of the hazard.

Any person involved in the activities of the concession project and/or operation, for the activities of the project: Design, Financing, Equipment, Execution of Additional Works, Operation, and Maintenance of the Port Terminal of PUERTO BOLIVAR is responsible for following this document in full for its faithful fulfillment.

The effective incident command SHOULD contact the 911 PBX to coordinate emergency control activities, while the YILPORTECU emergency control delegate, (CAE) has the role of communicating to the social actors of each community or neighborhood near the incident and its possible affectations according to the data of the expansionary wave.

14.4. Procedure

See ANNEX 7.

15. Training plan for human rights and proportional use of force by security personnel

15.1. Objectives

Achieving the units of competence in general theory and practice will be closely related to the development of specific activities; under this, methodological strategies used by instructors are aimed at responding directly to competencies; that students learn to recognize and solve problems, valuing the context in which they develop, orienting at every moment to a continuous improvement, the focus on competencies requires the development of skills, skills, attitudes, and practices, education under this approach responds to the needs of students' comprehensive development.

15.2. Scope

All personnel assigned to the Security of the Port Terminal of Puerto Bolívar.

15.3. Responsible

Yilportecu must ensure that the company contracted for the Security of the Port Terminal of Puerto Bolívar complies with the training and rights of the personnel.

15.4. Training program

See ANNEX 8. Planning prepared by the current company providing the Security

Service. ANNEX 9. Comprehensive Security Training Final Report.

16. Plan for termination of construction workers

16.1. Objectives

- Ensure that the employment generated in the construction and maintenance phase of the project brings positive benefits to the population in their area of influence.
- Avoid creating dependency of the community surrounding the project, for the constructive activities that are carried out in limited periods, within the plans of expansion of the Port Terminal.
- This Plan must be implemented following the environmental and social policies of Yilport Terminal Operations (YILPORTECU) S.A.

16.2. Scope

This procedure is established for the construction activities of Pier 6, and other port terminal expansion activities of the Puerto Bolívar Expansion Project Phase 1. This document is supplemented by the internal procedure RH-PR-009 V1 Termination and Disengagement (Annex V).

16.3. Responsible

It is the responsibility of the Projects Department of Yilport Terminal Operations (YILPORTECU) S.A., and through the Prime Contractor for the construction of Pier 6, and other expansion activities or projects, for the implementation of this Plan. Its compliance will be supervised by the Department of HSE (Environment, Health, and Safety) and with the support of the personnel assigned by this department at Yilport Terminal Operations (YILPORTECU) S.A.

16.4. Procedure

The Contractor for the hiring, maintenance, and termination of personnel for the expansion of the Port Terminal shall comply with the following:

- Establish an office/department, which receives resumes from applicants to work on the project. Priority will be given to hiring labor from the social influence area of the project if they meet the required competencies.
- Recruitment programs should be aligned with the institutional staff policies of Yilport Terminal Operations (YILPORTECU) S.A., respecting national labor legislation.
- Submit a report detailed the personnel hired for the site, classification by main activity, and time in which such personnel will be required.
- Before the recruitment of construction personnel, the date of possible termination and the mechanisms of the disengagement should be reported, together with the working conditions offered.
- Set a Training and/or Certification of Competencies Program for workers in the process of termination. This program will consist of implementing courses or training in practical trades and/or entrepreneurship skills, which will allow former workers to have the tools to achieve economic independence after the project is completed.

17. Public consultation and stakeholder participation

17.1. Rationale and objectives

Both project activities and their management plans must be strengthened by the criteria and contributions made by the community through a process of socialization and social participation.

Two-way interaction and communication with project stakeholders enable decisions to be made and mutual understanding, actively involving individuals, groups, and organizations that have an interest in the project. Such participation will improve the project's long-term viability and increase its benefits to affected individuals at the local level and other stakeholders.

17.2. The current reality in the face of a pandemic.

On March 12, 2020, given the imminent possibility of a mass contagion due to the presence of the SARS-COV2 virus, the Ecuadorian Government declared the State of Sanitary Emergency in all establishments of the National Health System and resolved that, as preventive measures, the use of mechanisms such as teleworking, distance learning, among others, will be promoted to prevent the spread of the virus. Further measures are set out below, such as suspension of flights, prohibition of landing in Ecuadorian ports of passengers arriving onboard cruise tourist vessels, development of mass events, restriction of pedestrian and vehicular traffic on public roads, operation of restaurants, hotels, and shops, among others. On 17 March, the President declared a state of emergency for public calamity, which, in addition to limiting the transit, association, and assembly of the population in general, established a curfew and the suspension of face-to-face working days with exceptions.

In this sense, any process of public consultation in Ecuador will have to follow a rigorous implementation of the existing security protocols, as well as the guidelines of the national environmental authority for the purpose, World Bank guidelines, always seeking to follow the established by IFC for instances participation, consultation, and dissemination of information.

17.3. Stakeholder participation

This plan seeks to establish a permanent and two-way communication mechanism with stakeholders so that inputs can be made to and from stakeholders and the project.

17.3.1. Identification of interested parties.

Stakeholders have been identified and mapped in Book IV.C. Social Baseline.

17.3.2. Prior consultation activities

YILPORTECU has carried out two Social Participation Processes (PPS) as part of its Environmental Licensing, on two previous occasions:

1. PPS of the “Environmental Impact Study for the construction and operation of the Puerto Bolívar port terminal operated by Yilport Terminal Operations Yilportecu S.A.”, carried out in October 2017.

2. PPS of the “Environmental Impact Study and Environmental Management Plan for Dredging Docks 1, 2, 3, 4, 5 and 6, Zone of Maneuver and Access Channel of Puerto Bolivar”, carried out in June 2017.

These processes were carried out following environmental regulations and with the participation of control and surveillance institutions that validated and approved these processes.

17.3.3. Stakeholder Participation Plan

The following communication strategy is established based on the identification and prior mapping of stakeholders:

OBJECTIVE	SOCIAL ACTOR	COMMUNICATION/PARTICIPATION STRATEGY
CLOSE MANAGEMENT	Customers Financial institutions Governance APPB CAPBOL -SUBSIR	Voluntary and direct communications Attention to complaints and reclamations. Image and satisfaction survey Quality Control Survey Involvement in socialization processes
KEEP SATISFIED	GADPEO MAAE communications Truck drivers Prompt compliance with legislation Employees	Voluntary and direct Involvement in community leverage campaigns/initiatives Training, recreation, and leisure activities Ensure attendance at citizen participation processes. Attention to complaints and reclamations.
KEEP INFORMED	Suppliers Contractors Women Neighborhoods UOPAO	Publications in the press and other indirect media Image and perception survey Labor Climate Survey Attention to complaints and reclamations. Ensure attendance at citizen participation processes
BASIC COMMUNICATION	Municipality State Prosecutor UPC Fire brigade Tourist transportation Health subcenters	Direct contact Publications in press Image and perception survey Include them in citizen participation processes

17.3.4. Implementation timeline

ACTIVITIES	MONTHS											
	1	2	3	4	5	6	7	8	9	10	11	12
Communication	X	X	X	X	X	X	X	X	X	X	X	X
Attention to complaints and reclamations	X	X	X	X	X	X	X	X	X	X	X	X
Image and satisfaction survey												X
Quality Control Survey						X						X
Socialization processes						X						
Prompt compliance with legislation	X	X	X	X	X	X	X	X	X	X	X	X
Involvement in community leverage campaigns/initiatives				X				X				X
Training, recreation, and leisure activities				X				X				X
Publications in the press and other indirect media						X						
Image and perception survey												X
Labor Climate Survey						X						

17.3.5. Roles and responsibilities

The company management should determine mechanisms to manage the interested parties, to balance their expectations and those of the company. To do this, the following roles and responsibilities are generally established.

Senior Management:

• Ensure that the project communicates to stakeholders what they need and when they need it.

• Determine when to involve stakeholders in the project and to what extent.

• Manage stakeholders' expectations

HSE Department:

• Identify stakeholders by name and re-evaluate them when needed.

• Determine their requirements, interest in the project, and level of influence.

• Establish stakeholder expectations and turn them into requirements.

• Assess the knowledge and skills of stakeholders.

• Communicate to stakeholders what requirements are to be met and what are not and let them know why.

• Manage and influence stakeholder involvement in the project, use stakeholders as experts.

17.3.6. Reporting and monitoring

An annual report of the activities carried out in compliance with this Plan will be made. The report should be made available to interested parties, so it is recommended that an extract of this report be published in media such as the institutional website.

17.4. Public consultation

The consultation process for the implementation of the activities of the Puerto Bolívar Expansion Project Phase 1 consists of 1) planning, 2) implementation, 3) development of a systematization report/updating of the consultation plan, 4) revision and/or inclusion of population criteria, 5) feedback.

17.4.1. Planning

Time of participation

In general, and with the aim that the process of citizen participation is carried out in a fair and meaningful way, the right time for carrying out a participation process is given when the project is still in the design stage (before the final design, It can also be carried out in the conceptual design stage), in such a way that it allows – both the Promoter and the Contractors – to adopt the changes and/or criteria that are required as a result of citizen participation, being constituted in a contribution to the project that enriches and improves it, in terms of acceptance and appropriation.

Date, place, and responsible

Mechanisms for participation (Personal Invitations, Solicitations, Press Publications, and others) should be properly defined considering applicable national legislation, biosafety protocols, national and international guidelines regarding the COVID 19 context. Once the participation mechanism(s) have been defined, the date, time, and place of the consultation process shall be established, with due motivation and justification, considering local practices and uses, such as fairs, festivities, and others, to guarantee the greatest and best condition of convocation and concurrence to the event and to comply with the principle of maximum access to the information of the IFC.

The consultation process will be carried out by YILPORTECU, who shall be responsible for the respective coordination through its Community Relations Department or the delegate for this purpose. It is essential to have the collaboration and participation of technicians who know the details of the project in terms of design, timetable, and other specificities; as well as any other representative that the proponent considers necessary.

Participants

The stakeholder list incorporates at least the following criteria:

• Main stakeholder categories and subcategories.

• The level of interest on the project: Likely impacts or benefits, or interest; positive or negative.

• Key characteristics (social situation, cultural factors, location, size, organizational capacity and level of influence, vulnerability, or social exclusion).

• How the project will relate to each of the different groups (how it will provide meaningful background information, whether it will use public meetings, focus groups, key informants, or structured interviews such as instances or formats to link, etc.).

This information will create the query plan.

Mechanisms of call and dissemination

- Prepare and deliver formal written invitations, preferably in person or by means that are most convenient for the guest. Carry delivery/receipt record as a means of verifying the call. If possible, they should be signed by the maximum authority of the project proponent.

- To ensure adequate publicity and the greatest possible assistance, the feasibility of managing additional call mechanisms such as messages on broadcasters and/or local print daily, the placement of information posters in strategic mass venues (e.g., temples, squares, markets), and other high media will be evaluated in the field.
- The call should include a brief introduction to the project and a preliminary agenda, it must be run at least 10 business days before the event to ensure the greatest number of attendees and a reminder will be made one or two days before the event through 01 (one) publication in the most widely circulated local paper.

To ensure equitable access to the process, the working hours of fishermen, shell collectors, and crustacean collectors, in general, should be taken into account. when setting the date and time the event was executed so that they could participate in the process and obtain their opinions and concerns.

Query method

The query method to be implemented is that of a public presentation assembly, to which the stakeholders of the project implementation area, the local authorities and organizations, and other stakeholders previously identified should be invited.

The information will be presented in a didactic manner and adapted to local socio-cultural conditions, ensuring that the following are included at least:

- Objectives of the consultation and agenda
- The nature of the project, benefits, and/or possible impacts to different groups of parties.
- Environmental and social analysis of the project.
- Progress and/or Project Status.
- Rights and responsibilities of individuals within the framework of project implementation.
- A mechanism for filing complaints and reclamations.

The assembly will create a space for dialog where concerns will be answered, and comments and views received. To make the consultation process meaningful, channels will be proposed for dialog and listening to the concerns and opinions of the participants.

17.4.2. Execution

On the day of the event, ¡ all the logistic facilities necessary for the development of the event shall be ready and the formats for the recording of comments, the registration of attendance, and the management of them.

The advantage of public meetings as a consultation format is that the project can contact many stakeholders and that there is a degree of transparency in the process because everyone receives the same information and listens to the discussion. Special care shall be taken to verify that the process is not governed by dominant interest groups.

Consultations will be carried out in places of easy access, always safeguarding the health of the participants and the technical team, taking the measures established in the Protocol for the resumption of social/citizen participation processes of projects, works, or activities in the process of environmental regularization at the national level, MAAE-001, dated 2020, for the implementation of processes of citizen participation in times of pandemic.

17.4.3. Preparation of a systematization report/updating of the consultation plan.

Once the query process has been completed, the consultation plan should be updated based on information provided by interested parties. The consultation plan can be extended or updated permanently with the following additional information:

• Key concerns and recommendations expressed by different stakeholder categories and subcategories.

• How the project will address the views of each stakeholder group.

• How the project will provide feedback to stakeholders on how their views are reflected in project decisions.

• How the project seeks to relate to different stakeholder groups during the remainder of project preparation and implementation.

17.4.4. Review and/or inclusion of stakeholder criteria

The analysis of stakeholder inputs will be based on four points:

I. How stakeholder input can be reflected in project implementation.

II. How stakeholder inputs can provide the basis for adding additional and specific benefits to local communities to the project.

III. How potential adverse impacts should be avoided and minimized.

IV. What are the most appropriate institutional and organizational mechanisms for the project to respond to the needs and concerns of stakeholders.

The consultant shall include in the environmental and social analysis the opinions and observations generated in the participation processes, provided that their relevance and technical and economic viability are justified.

17.4.5. Feedback

Within 15 days of the consultation, participants will be notified of the summary of the consultation. The information will be presented using an infographic or easy-to-understand scheme and distributed through one (01) of the previously established mechanisms of call and dissemination. The information to be disseminated shall include the following:

• Registration of the place, the time, and the people who participated.

• Key issues discussed.

• Agreements reached.

• How recommendations from stakeholders have been or will be considered in the implementation of the project.

• How decisions made based on stakeholder input are expected to improve benefits and reduce adverse impacts.

• Areas of disagreement or divergent opinions, whether between stakeholders or between participants and project authorities, and the reasons why some recommendations cannot be included.

• Dissemination of the complaints and complaints mechanism.

18. Annexes

ANNEX 1. YILPORTECU Environmental Management Plans

ANNEX 2. RH-PR-13 V1. Human Resources Claims and Suggestions Procedure

ANNEX 3. Protocol for response to marine mammal stranding.

ANNEX 4. Protocol of action to prevent collisions with whales and other marine mammals during dredging activities.

ANNEX 5. RH-PR-009 V1 Termination and Disengagement

ANNEX 6. YECU-EHS-01-068-EHS POLICY_2020-2022

ANNEX 7. Emergency preparedness and response plan

ANNEX 8. Academic Planning Human Rights and Proportional Use of Force

ANNEX 9. Comprehensive Security Training Final Report

ANNEX 10. YECU-EHS-126-Instructional Certificate Review IMO_MARPOL_V1

I, Miguel Angel Pantoja Shimanskii, certify that the present document consisting of 66 pages in english was translated from its original version in spanish, it's accurate to the best of my capacities as a Sworn Court Certified Translator of the Judicial Council of Ecuador.

Yo, Miguel Angel Pantoja Shimanskii certifico que el presente documento que consta de 66 páginas en ingles fueron traducidas de su versión original en español , son precisas en mis capacidades como traductor calificado y jurado del Consejo de la Judicatura.

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