Republic of Ecuador/National Institute for a Popular and Solidarity Economy

Territorial Economic Empowerment for the Indigenous, Afro-Ecuadorian and Montubian Peoples and Nationalities (TEEIPAM)(P173283)

Revised Version
ENVIRONMENTAL AND
SOCIAL COMMITMENT
PLAN (ESCP)

March 7, 2025

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

- 1. The Republic of Ecuador (the Borrower) will implement the Project the Territorial Economic Empowerment for the Indigenous, Afro-Ecuadorian and Montubian Peoples and Nationalities Project (the Project), with the participation of the National Institute for a Popular and Solidarity Economy (IEPS), in coordination with the Secretariat of Higher Education, Science, Technology and Innovation (SENESCYT) for Parts 3.1 and 4 of the Project, as set out in the Loan Agreement. The International Bank for Reconstruction and Development (the Bank) has agreed to provide financing for the Project (P173283) under the above agreement. This ESCP supersedes previous versions of the ESCP for the Project.
- 2. The Borrower shall ensure that the Project is carried out in accordance with the Environmental and Social Standards (ESSs) and this ESCP, in a manner acceptable to the Bank. The ESCP is a part of the Loan Agreement. Unless otherwise defined in this ESCP, capitalized terms used herein have the meanings ascribed to them in the referred agreement.
- 3. Without limitation to the foregoing, this ESCP sets out material measures and actions that the Borrower shall carry out or cause to be carried out, including, as applicable, the timeframes for such measures and actions, staffing and institutional arrangements, training, monitoring and reporting. and grievance management. The ESCP also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Project, all of which shall be subject to prior consultation and disclosure, consistent with the ESSs, and in form and substance acceptable to the Bank. Once adopted, such E&S instruments may be revised periodically with prior written agreement by the Bank.
- 4. As agreed between the Bank and the Borrower, this ESCP will be revised periodically, if necessary, during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to Project performance. In such circumstances, the Borrower, through IEPS, and the Bank agree to update the ESCP to reflect these changes through an exchange of letters signed between the Bank and the Director of IEPS. The Borrower, through the IEPS, shall promptly disclose the updated ESCP.

MATE	RIAL MEASURES AND ACTIONS	DEADLINES	RESPONSIBLE
TOP-UP	IN FINANCING VOLUME		
A	 REGULAR REPORTING The IEPS shall prepare and submit bi-annual monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project in a form and content acceptable to the Bank. The reports shall include, inter alia: Progress in ESCP implementation. Status of preparation and implementation of all environmental and social (E&S) documents referenced in the ESCP. Summary of activities to be carried out during the coming period. Summary of outreach, participation and consultation activities during the period. Record of grievances received and addressed during the period through the worker grievance mechanism; the community and the beneficiaries. The Project Operations Manual (POM) shall include an annex indicating the minimum content and format of the corresponding reports, as well as their frequency and processes. 		IEPS-Project Implementation Unit (PIU)).
В	INCIDENTS AND ACCIDENTS Notify the Bank of any incident or accident related to the Project has, have a significant adverse effect on the environment, affected communities, the public or workers, including, inter alia, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and accidents that result in death, serious or multiple injury. Provide available details, severity, and possible causes of the incident or accident, immediate taken or that are planned to be taken to address it, and any information provided by any contractor and/or supervising firm, as appropriate. Subsequently, at the Bank's request, prepare a report on the incident or accident analyzing causes of the incident or accident and proposing a corrective action plan. The Interinstitutional Agreement with SENESCYT (under action 1.3) will require that after becoming aware of an incident/accident, SENESCYT informs the IEPS about it as soon as possible.	Provide subsequent report to the Bank within a timeframe acceptable to the Bank.	IEPS-PIU

MATER	RIAL MEASURES AND ACTIONS	DEADLINES	RESPONSIBLE
	The POM will contain an annex on the minimum content and format for the reports.		
C	SENESCYT PERIODIC REPORTS The IEPS will require SENESCYT to submit reports on E&S matters. The IEPS-PIU, in turn, will submit these reports to the Bank as part of the semiannual reports (see Action A). The POM will contain an annex of the minimum content and format of SENESCYT reports.	SENESCYT will prepare and submit to the IEPS-UIP monthly monitoring reports throughout the Project. The PIU will submit these reports to the Bank on a semiannual basis, through the semiannual reports referred to in Action A and when requested by the Bank.	IEPS-PIU
D	REGULAR REPORTS FROM CONTRACTORS AND/OR SUBPROJECT BENEFICIARY ORGANIZATIONS The IEPS shall include or require SENESCYT to include in the contracts for execution of civil works or in the agreements signed with subproject beneficiary organizations (SBs), as the case may be, the obligation to provide the IEPS-PIU or SENESCYT with monthly monitoring reports, which shall include, among other things, information on ESHS aspects. The IEPS-PIU, in turn, will submit these reports to the Bank as part of the semiannual reports (see Action A). The POM shall contain an annex of the minimum content and format of the reports from contractors/SBs.	The contractors and/or SBs responsible for the execution of subprojects shall prepare and submit to SENESCYT or the IEPS-PIU, as appropriate, monthly monitoring reports throughout the duration of the corresponding subprojects. SENESCYT shall submit these reports to the IEPS-PIU monthly. The IEPS-PIU will submit these reports to the Bank every six months, through the semiannual reports referred to in Action A.	IEPS-PIU
ESS1: A	ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPAC	CTS	
1.1	The IEPS shall establish and maintain within the PIU an organizational structure with qualified personnel to support the management of the ESHS aspects of the Project at both the central and territorial levels. This support, which will continue throughout Project implementation, will include the following (to be evaluated and adjusted during Project implementation as needed): At the central level: a) One (1) full-time environmental specialist and one (1) full-time social specialist with experience in IPAM, gender and intergenerational issues, to ensure compliance with the Bank's ESSs throughout Project implementation. b) Three (3) analysts with expertise on Indigenous, Afro-Ecuadorian and Montubian	At the central level: The organizational structure of the central-PIU must be maintained throughout its implementation. At the decentralized level: The recruitment and appointment of qualified staff indicated for the decentralized level (territorial PIUs) must be completed prior to starting the activities indicated in Part 2.1.	IEPS-PIU

MATER	RIAL MEASURES AND ACTIONS	DEADLINES	RESPONSIBLE
1.2	Peoples and Nationalities (IPAM). c) One (1) gender analyst with experience working with IPAM populations. At the decentralized level: One (1) environmental analyst and one (1) social analyst in each of the territorial PIUs to be established as part of the Project. These analysts will be responsible for preparing or managing, coordinating and supporting the preparation of the specific ESHS management instruments of the subprojects to be financed, and for supervising and supporting their implementation, in close coordination with specialists from central level and SENESCYT, when appropriate. These specialists and analysts are an integral part of the central and territorial PIUs. The POM will contain an annex detailing the responsibilities of each specialist and analyst. In SENESCYT: The IEPS will request SENESCYT to designate qualified personnel to provide support in matters of E&S management. SOCIOENVIRONMENTAL TECHNICAL ASSISTANCE CONSULTANTS: The IEPS-PIU shall or require SENESCYT to hire socioenvironmental consultants to provide technical assistance during the intervention, to support the SBs in the implementation of the socioenvironmental measures established in the respective	SENESCYT will designate qualified staff to support E&S management prior to the initiation of project funded activities implemented by SENESCYT. At the starting of activities under Components 2 and 3 of the Project, as and when required, and throughout Project implementation.	IEPS-PIU in coordination with SENESCYT.
1.3	subproject-specific ESMPs, as needed (number of consultants will depend on workload, complexity of subprojects, and demand). INTERINSTITUTIONAL AGREEMENTS ESTABLISHED BETWEEN THE IEPS AND SENESCYT The IEPS shall enter into the Interinstitutional Agreement with SENESCYT under terms acceptable to the Bank, which shall include, , the following: a. The requirement for SENESCYT to support the implementation of the ESCP, including the E&S instruments referenced in the ESCP, as applicable. b. The responsibilities of the IEPS-PIU at the central and territorial (decentralized) level and of SENESCYT in relation to E&S management as described in the ESCP and the E&S instruments referenced therein, as well as the coordination arrangements required.	The signing of the Interinstitutional Agreement with SENESCYT constitutes a disbursement condition for Disbursement Category 4 under the legal agreement.	IEPS- SENESCYT.

MATERIAL MEASURES AND ACTIONS	DEADLINES	RESPONSIBLE
c. The requirements for SENESCYT regarding periodic reporting on E&S matters. d. The requirements for SENESCYT regarding the submission of accident/incident related reports. e. The requirement for SENESCYT to have qualified personnel to support the management of E&S aspects. f. The requirement forIEPS and SENESCYT to include in the Project Agreements with subproject beneficiary organizations (SBs), among other points, that the SBSOs comply with the instruments indicated in the ESCP, including, among others, the ESMF, PGL, SEP and ESMP, as applicable to the respective subprojects. g. The requirements for the IEPS and SENESCYT to ensure that the necessary permits or authorizations regarding E&S matters are obtained for the implementation of subprojects or other Project activities, as described in Action 1.5. h. The IEPS and SENESCYT's compliance with relevant aspects of the LMP, as applicable. i. The requirement that the IEPS and SENESCYT support the implementation of the SEP and the Project's grievance mechanisms. Further details of such responsibilities and provisions will be provided in the POM. 1.4 ENVIRONMENTAL AND SOCIAL MANAGEMENT TOOLS AND INSTRUMENTS 1. Develop, consult, disclose, adopt, and implement the ESMF to address Project Components 1, 2.1, 2.2, 2.3 and 3 (ESMF) in a form and conternacceptable to the Bank and with the ESSs. 2. Evaluate and exclude from the Project the subprojects and other propose activities that appear in the ESMF Exclusion List. 3. a) Develop or b) manage, coordinate and support the preparation of subproject-specific ESMPs, in accordance with the provisions of the ESMI Ensure that the SBs properly implement these ESMPs.	legal agreement and shall be completed prior to the call for subprojects. Once adopted, it will be implemented throughout the implementation period. 1. Throughout Project implementation, as	IEPS-PIU in coordination with SENESCYT.

MATE	RIAL MEASURES AND ACTIONS	DEADLINES	RESPONSIBLE
1.5	Ensure that the necessary ESHS permits, licenses and authorizations from the relevant authorities are obtained to implement the subprojects and other activities under Components 2 and 3, as needed. Ensure that the conditions established in such permits, licenses and authorizations are complied with throughout Project implementation. The ESMF will include a list of key permits that could be required.	Throughout Project implementation, as necessary. The permits, licenses, and authorizations shall be obtained in strict compliance with the provisions of the relevant national regulations regarding timing, form, and substance, and before signing the agreement with the subprojects.	IEPS-PIU in coordination with SENESCYT
1.6	 Ensure that the Project contracts and agreements established between the IEPS, SENESCYT and contractors, suppliers and/or SBs (as applicable) include the requirement to comply with the relevant aspects of this ESCP, i.e., compliance with the guidelines indicated in the ESMF, SEP, GLP and subproject-specific ESMPs, as applicable. Carry out necessary capacity building activities to enable the SBSPs to ensure proper implementation of the relevant aspects of this ESCP, including, inter alia, compliance with the guidelines indicated in the ESMF, SEP, GLP, and subproject-specific ESMPs, as appropriate. 	 a) Contractors: The obligation to comply with the E&S aspects must be previously clarified and included in the contract for the execution of activities, as appropriate. b) OBSPs: The obligation to comply with the E&S aspects should be clarified beforehand and included in the agreements. Capacity building: Throughout subproject, as applicable 	IEPS-PIU in coordination with SENESCYT
1.7	SUPERVISION OF WORKS If a firm is required to supervise subproject civil works or other project activities under Components 2 and 3, the corresponding bidding documents should reflect the need to supervise the ESHS aspects of the works involved.	Before launching tenders for the relevant supervisory activities, as necessary.	IEPS-PIU in coordination with SENESCYT
1.8	TECHNICAL ASSISTANCE TA Ensure that consultancies, studies, capacity building, trainings, and any other form of technical assistance implemented under the Project are carried out in accordance	Throughout Project implementation.	IEPS-PIU in coordination with SENESCYT

MATER	RIAL MEASURES AND ACTIONS	DEADLINES RESPONSIBLE
1.9	with terms of reference acceptable to the Bank and incorporate relevant ESHS requirements in accordance with the ESSs. CONTINGENT EMERGENCY RESPONSE FINANCING a) Ensure that the CERC Manual includes a description of the ESHS assessment and management arrangements for the implementation of the Project's CERC in	a) The adoption of the CERC Manual, in form and substance acceptable to the Bank, is a disbursement condition under Section III.B.1 of Schedule 2 of the Project Loan Agreement.
	b) Adopt environmental and social instruments as may be required for the activities under the Contingency Emergency Response Component of the Project, in accordance with the CERC manual and the ESSs, and thereafter implement the measures and actions required under such environmental and social instruments, within the timeframes set out in said instruments.	b) Adopt any required SP instrument and include it as part of the respective bidding process, if applicable, and in any case, prior to the carrying out of the relevant Project activities for which the SP instrument is required. Implement the SP instruments in accordance with their terms throughout Project implementation.
ESS2: L	ABOR AND WORKING CONDITIONS	
2.1	 LABOR MANAGEMENT PROCEDURES Implement, as part of the POM, Worker Management Procedures for the Project (LMP), consistent with ESS2. Develop, adopt, disclose, and implement Labor Management Procedures (LMP), including model standards of conduct for Project workers for Parts 2.1, 2.2, 2.3 and 3 of the Project, in a manner acceptable to the Bank and consistent with ESS2. Ensure that SENESCYT complies with the relevant aspects of the LMP. 	1. Throughout Project implementation. 2. The adoption of the LGP is a disbursement condition for the respective Disbursement Categories under the legal agreement. The LMP shall be applicable throughout Project implementation. 3. Throughout Project implementation.
2.2	GRIEVANCE MECHANISM FOR PROJECT WORKERS Establish, maintain, and operate a grievance mechanism for all Project workers in a manner acceptable to the Bank. The IEPS will coordinate with SENESCYT as necessary for the implementation of the grievance mechanism for Project workers in the context of the subprojects. The Labor Grievance Mechanism shall be included in the LMP.	

MATERI	AL MEASURES AND ACTIONS		DEADLINES	RESPONSIBLE
2.3	 a) Develop or b) manage, coordinate and accompany the development of OHS management measures for Project activities, including emergency preparedness and response measures as part of the development of the ESMPs, in accordance with the ESMF. Verify that the OBSPs properly implement these OHS management measures. Implement as part of the POM and LMP, occupational health and safety (OHS) management measures for project workers in all components of the Project, consistent with ESS2. 		Throughout Project implementation. Throughout Project implementation.	IEPS-PIU in coordination with SENESCYT
ESS3: RI	SOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT			
3.1	 POLLUTION PREVENTION AND MANAGEMENT SUBCOMPONENTS 2.2, 2.3 AND 3 Pollution prevention and management measures of subprojects or other Project activities to be financed under Subcomponents 2.2, 2.3 will be addressed in intervention-specific ESMPs, following ESMF guidelines. The PIU shall coordinate and support the preparation of such ESMPs (depending on the complexity of the activities), and supervise their adequate implementation. For interventions under Component 3, environmental and social measures will be included in the ToRs of the activities to be financed, as indicated in the ESMF. 		The ESMF will be adopted prior to the call for subprojects. The ESMPs shall be developed, approved and implemented throughout the subproject implementation cycle following the timeframe indicated in Action 1.4.3. Actions will be incorporated prior to approval of ToR.	The IEPS-PIU, in coordination with SENESCYT.
ESS4: CO	MMUNITY HEALTH AND SAFETY			
4.1	COMMUNITY HEALTH AND SAFETY, SUBCOMPONENTS 2.2, 2.3 AND 3 Health and safety measures of subprojects and other activities to be financed under Subcomponents 2.2, 2.3 will be addressed in the specific ESMPs for each intervention (subprojects), following the guidelines set out in the ESMF. The PIU shall coordinate and support the preparation of such ESMPs (depending on the complexity of the activities), and supervise their adequate implementation.	ind The imp	e ESMF shall be adopted within the timeframe icated in Action 1.4.1. E ESMPs shall be developed, approved, and plemented throughout the subproject plementation cycle, within the timeframe icated in Action 1.4.3.	IEPS-PIU, in coordination with SENESCYT.
ESS5: I	AND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT	Γ		

MATERIAL MEASURES AND ACTIONS		DEADLINES	RESPONSIBLE
5.1	PROCESS FRAMEWORK The ESMF shall include a Process Framework (PF), in accordance with the requirements of ESS5.	The adoption of the ESMF is a disbursement condition for the respective Disbursement Categories under the legal agreement. Once adopted, it should be implemented throughout the entire implementation period.	IEPS-PIU
ESS6: BI	ODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL	RESOURCES	
6.1	MANAGEMENT OF RISKS AND IMPACTS ON BIODIVERSITY, SUBCOMPONENTS 2.2, 2.3 AND 3. Measures to manage biodiversity risks and impacts of subprojects and other activities to be financed under subcomponents 2.2, 2.3 will be addressed in intervention-specific ESMPs, in accordance with the ESMF. The PIU shall coordinate and support the preparation of such ESMPs, as well as supervise their adequate implementation.	The ESMF shall be adopted within the timeframe indicated in Action 1.4.1. The ESMPs shall be developed, approved, and implemented throughout the subproject implementation cycle, in accordance with the timeframe indicated in Action 1.4.3.	IEPS-PIU, in coordination with SENESCYT
ECC7. IN	DIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITION	ONAL LOCAL COMMUNITIES	
7.1	INDIGENOUS PEOPLES AND NATIONALITIES The ESMF will include an assessment of the nature and degree of the expected direct and indirect economic, social, cultural and environmental impacts on the Indigenous Peoples. The SEP will describe how the IEPS will proactively communicate with relevant Indigenous Peoples to ensure their ownership and participation in the design, implementation, monitoring and evaluation of the subprojects and to develop and implement measures and actions to avoid or mitigate any impacts.	The adoption of the ESMF and SEP are disbursement conditions for the respective disbursement categories under the legal agreement. Once adopted, the ESMF and SEP will be implemented throughout the	IEPS-PIU
ESS8: CU	JULTURAL HERITAGE		

MATER	RIAL MEASURES AND ACTIONS	DEADLINES	RESPONSIBLE
8.1	CULTURAL HERITAGE MANAGEMENT COMPONENTS/SUB-COMPONENTS 2.2, 2.3 AND 3 Cultural heritage management measures of subprojects and other activities to be financed under Components/Subcomponents 2.2, 2.3 will be addressed in intervention-specific ESMPs, following guidelines set out in the ESMF, including a chance finds procedure. The PIU shall coordinate and support the preparation of such ESMPs (depending on the complexity of the activities), as well as supervise their adequate implementation.	The ESMF will be adopted prior to the call for subprojects. ESMPs shall be developed, approved and implemented throughout the subproject implementation cycle.	IEPS PIU, in coordination with SENESCYT
ECCO. E			
E559: F	INANCIAL INTERMEDIARIES It is not currently relevant.		
FSS10:	STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE		
10.1	DEVELOPMENT AND IMPLEMENTATION OF THE STAKEHOLDER ENGAGEMENT PLAN Update, consult, adopt, disclose and implement the Stakeholder Engagement Plan (SEP) in a manner acceptable to the Bank and consistent with ESS7 and ESS10.	•	IEPS-PIU in coordination with SENESCYT
	(,	The SEP shall be implemented throughout Project implementation.	
10.2	PROJECT-BASED GRIEVANCE MECHANISM Develop, adopt, maintain, and operate a grievance mechanism, in a manner acceptable to the Bank, as described in the SEP, incorporating the adaptation requirements for indigenous peoples set out in ESS7.	The Project's grievance mechanism must be available no later than 30 days after the Project's Effective Date and function throughout Project implementation.	IEPS-PIU in coordination with SENESCYT
	Ensure coordination with SENESCYT, as needed, for implementation of the Project's grievance mechanism in the context of subprojects and other Project activities.		
CAPAC	ITY BUILDING (TRAINING)		
CF1	BENEFICIARY TRAINING Training for Project beneficiaries on the implementation of the ESHS management measures included in their respective ESMPs.	Ongoing training throughout Project implementation.	IEPS-PIU, in coordination with SENESCYT

MATERIAL MEASURES AND ACTIONS		DEADLINES	RESPONSIBLE
FC2	 TRAINING OF PIU SPECIALISTS, ANALYSTS AND EXTERNAL CONSULTANTS. Training for specialists and analysts of the PIUs (at central and territorial level) and relevant SENESCYT staff on the Bank's ESSs and Project instruments. Training of the consultants providing technical assistance on the Project's E&S instruments and requirements applicable to subproject-specific ESMPs. 	Ongoing training for specialists and analysts of the PIUs throughout project implementation. Continuous training of external consultants throughout project implementation.	The IEPS-PIU, with support from the Bank
FC3	TRAINING OF SBS AND CONTRACTORS Training of SBs and subproject contractors on occupational health and safety, environmental and social management, and standards of worker conduct, as well as on management measures for project instruments.	Training will be provided throughout the implementation period of subprojects, as needed.	The IEPS-PIU, in coordination with SENESCYT