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GLF ESMS Annex G

<*Project title*>

**environmental and social management plan (ESMP) Template**

<*grantee*>

Version: <Preliminary or Final Version>

Date of First Draft:

Date last updated:

### NOTE: this is a template for Grantees to use.

This is the template for a project ESMP. Guidance to the Grantee is provided in blue text. The black text is suggested text to be used by Grantees which can be edited as necessary.

# Acronyms

|  |  |
| --- | --- |
| BMP | Biodiversity Management Plan |
| ERP | Emergency Response Plan |
| GLF | Galápagos Life Fund |
| DNPG | Galápagos National Park Directorate |
| EHS | Environmental, Health, and Safety |
| ESMP | Environmental and social Management Plan |
| ESMS | Environmental and Social Management System |
| FAO | Food and Agriculture Organisation of the United Nations |
| IFC | International Financial Corporation |
| ILO | International Labour Organization |
| INEN | National Standards Body of the Republic of Ecuador |
| MAATE | Ministry of Environment, Water and Ecological Transition of Ecuador |
| PAP | Project Affected People |
| PS | Performance Standard |
| SUIA | Unified Environmental Management System |
| WHO | World Health Organisation |
| WMP | Waste Management Plan |
|  |  |

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# Introduction to the ESMP

## Overview

*Grantee shall include a short introduction to the Projects Environmental and Social Management Plan (ESMP) and provide a high level overview of the project. More details and how the ESMP fits into the Environmental and Social Management System (ESMS) of the Galápagos Life Fund (GLF) can be found in GLF's ESMS Manual.* *This section should address:*

* *Introduction to the project*
* *Background of the Safeguard Instruments*
* *ESMP Development Process*
* *ESMP as an Umbrella Safeguard Instruments*

*Suggested text:*

This document is the Environmental and Social Management Plan (ESMP) for the "<**project** **title**>" project (hereafter referred to as "the Project"). It outlines the environmental and social management commitments that <**Grantee**> will implement to manage potential negative impacts and enhance potential positive impacts.

This section along with the project description (Section 5) and legal framework (Section 7), provides context for all the Safeguard Instruments used in this project. These instruments, such as the Stakeholder Engagement Plan (SEP) and Grievance Mechanism, are detailed in the Annexes.

At the project proposal stage, the ESMP and other Safeguard Instruments will be initially presented as Frameworks. These Frameworks will outline management measures that are then integrated into the project design (logframe and/or activities) and allocated appropriate resources. During the project inception phase (first six months of implementation), the ESMP will be further developed and finalized.

The ESMP acts as the overarching Safeguard Instrument. The Monitoring, Evaluation (M&E) and Reporting Section (Section 10) of this ESMP will be used for annual reporting on relevant monitoring data collected across all Safeguard Instruments.

# Purpose and Objectives of the ESMP

*This section succinctly sets out the purpose and objectives of the ESMP. Suggested text:*

This ESMP serves as a roadmap for managing the project's environmental and social risks and impacts in line with the GLF ESMS. It is a "living document" that will be regularly reviewed and updated by <**Grantee**> in response to several factors, including:

* Changes to the project design or local context
* Revisions to national legislation or GLF's safeguarding requirements

The finalized ESMP, along with the appended Safeguard Instruments, will be publicly disclosed. This demonstrates <**Grantee**>'s commitment to transparency, accountability, and responsible management of potential project impacts (both positive and negative).

It's important to note that these publicly available documents will exclude any personal information or data. Any personal data collected for the project or related safeguards will be handled securely by <**Grantee**>.

The ESMP aims to achieve the following objectives:

Compliance:

Ensure the project adheres to all applicable regulations, including:

* National and regional legal requirements
* GLF's Environmental and Social Management System (ESMS) standards and procedures
* International best practices, such as the IFC Performance Standards (IFC PS), and World Bank Group Environmental Health and Safety Guidelines (EHSGs)

Effective Risk Management:

* Prioritize avoiding and preventing negative environmental and social impacts.
* Implement a hierarchy of mitigation measures: minimize, mitigate, or compensate for unavoidable negative impacts.

Enhanced Positive Impacts:

* Maximize the project's potential positive environmental and social contributions.

Sustainability:

* Integrate environmental and social sustainability principles into project design and implementation.

Monitoring and Evaluation:

* Provide a framework for future monitoring and evaluation activities.

# The ESMP as an Umbrella Safeguard Instrument

*This section provides context in terms of how the ESMP acts as the core Safeguard Instrument and is supported by various other Safeguard Instruments to address E&S risks and impacts associated with project activities. Suggested text:*

The ESMP functions as the overarching Safeguard Instrument, encompassing all identified environmental and social risks and impacts. It allows for adaptive management and monitoring of all identified (and any emerging) risks. The ESMP integrates the findings from:

* All environmental and social screening and assessments conducted during the project design phase.
* Safeguard Instruments that will be appended to the ESMP according to the project's risks identified during the E&S Screening and E&S Assessment include (note- these are examples):
* Stakeholder Engagement Plan (SEP)
* Grievance Mechanism
* Process Framework (for projects causing access restrictions and potential economic displacement)
* Free, Prior and Informed Consent (FPIC) Protocol
* Any other relevant management plans, procedures, and protocols as needed (see Section 12).

# Project Information

*This section will give a high-level overview of the grantee and the project. The Grantee shall use the same information that was included in the ESSE Tool i.e. you can copy the table in TAB 1—Background Information of the ESSE Tool.*

Table : Project Information

|  |  |
| --- | --- |
| **Grant Code** |  |
| **Project Title** |  |
| **Grantee** |  |
| **Subgrantees** |  |
| **Partner Institution(s)** |  |
| **Project Start Date** |  |
| **Project End Date** |  |
| **Project E&S Risk Category** |  |
| **SUIA Project Code** | *The SUIA has assigned this code. If you don’t have it, please leave this section empty* |
| **Total Project Budget (all sources)** | US$ |
| **Total Funding Requested from GLF** | US$ |
| **Co-Financing** | US$ |

# Brief Project Description

## Project Summary

*Grantee shall include a project summary as outlined in the Grantee's Full Proposal.*

## Project Location

*Provide details of where the project is located. This shall include a brief description of the project location(s):*

* *Terrestrial: Island(s), area (e.g. coast, highlands etc.), town(s) etc.*
* *Marine: Coordinates, size of area, references etc.*

*Grantee shall include a map or a chart showing the location, and project boundaries.*

## Project Objective, Outcomes and Key Components

*The Grantee must clearly set out the overall objective of the project, the desired outcomes and the key components or activities that will be undertaken. Suggested text:*

The overall objective of the Project, as outlined in the Full Proposal, is to **<insert objective>**. This objective will be achieved through the following anticipated outcomes:

* Include as outlined in the Full Proposal

To achieve these outcomes, the project will focus on **<insert number>** key components:

* Include as outlined in the Full Proposal

The project includes the following main activities:

* Include as outlined in the Full Proposal

## Social Context

*This section provides a broad picture of the project area's social context. It draws on primary and secondary data sources to provide insights into:*

* ***Demographics and Socioeconomics****: general information about the population's characteristics (age, gender, etc.) and their economic well-being (income levels, livelihoods, etc.).*
* ***Stakeholders and Project Affected People (PAPs):*** *key stakeholders (individuals or groups with an interest in the project) and any communities or individuals who may be directly impacted by project activities. Stakeholder identification should be aligned with the SEP.*
* ***Disadvantaged and Vulnerable Groups (DVGs):*** *identifies any groups within the project area who may be disproportionately affected by the project due to their social or economic status. This could include low-income families, women, or minority groups.*

### Stakeholders and Project Affected People (PAP)

*This section provides an overview of the project stakeholders and project affected people. Suggested text:*

**Stakeholders** are groups, organizations, institutions and other interested parties that have an interest in the project (interested parties). The term **Project Affected People (PAP)** include those who might be affected (positively or negatively) by the project because of the actual impacts or potential risks to their physical environment, health, security, well-being or livelihoods. These may include individuals or groups, including local communities. The distinction between PAPs and stakeholders is crucial. PAPs experience direct effects from the project, while stakeholders may have an interest but are not necessarily directly affected.

*Include a list that summarizes the key stakeholders of the project:*

*Include a list that summarizes the principle Affected Communities/PAP if applicable:*

*This section should be supplemented with a summary table of the key stakeholder groups and main stakeholders. This section should be consistent with the SEP.*

## Disadvantaged or Vulnerable Groups

*The grantee should provide a description of the disadvantaged or vulnerable groups present in the project area. Disadvantaged or vulnerable groups are individuals or groups who are more likely to be negatively impacted by a project's impacts or risks and may have limited ability to benefit from its positive aspects. These social groups often face discrimination, and unequal access to rights, resources, and development opportunities. As a result, they may be:*

* *Poorly integrated into the formal economy*
* *Lacking access to basic public services*
* *Excluded from political decision-making*

*Examples of* *disadvantaged or vulnerable groups include:*

* *Ethnic, religious, cultural, or linguistic minorities*
* *Indigenous groups*
* *Female-headed households*
* *Children and youth*
* *Elderly people*
* *People with disabilities*

*Disadvantaged or vulnerable groups are also more likely to be excluded from or struggle to participate in regular consultation processes. Specific measures or assistance may be required to ensure their full participation. Vulnerability in project context refers to people who are:*

* *Exposed to project activities: This means they live in or use areas where project actions will take place (e.g., fishing in areas with increased law enforcement).*
* *Sensitive to project effects: They may be highly reliant on natural resources with limited alternative livelihoods.*
* *Have low adaptive capacity: They may lack social support networks, skills, or assets to cope with project impacts.*

# Applicable Standards and Requirements

## Legislative Requirements

*Grantees shall provide an overview of the relevant legislation applicable to their activities. Grantee shall consider Annex D of the GLF ESMS. Suggested text (to be edited as applicable):*

The legal and normative framework includes the following:

* Special Regime of the Province of Galápagos Organic Act
* General Regulation of the Special Regime of the Province of Galápagos Organic Act
* Environmental Code
* Regulation of the Environmental Code
* Unified Text of Environmental Subsidiary Legislation
* Labour Code
* Health Act
* Land Management and Territorial Planning Act
* Regulations on Workers' Health and Safety and Improvement of the Working Environment
* Executive Decree 2393
* Technical Standard on Occupational Health and Safety of the Ecuadorian Social Security Institute (IESS).

## International Standards and Good International Practices

*Grantee shall provide an overview of the international standards and best practices the project seeks to align with. Grantee shall consider Annex C of the GLF ESMS. Suggested text (to be edited as applicable):*

The Environmental and Social Management Plan (ESMP) adheres to the following international standards*:*

IFC Performance Standards:

* IFC Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts (PS1)
* IFC Performance Standard 2: Labor and Working Conditions (PS2)
* IFC Performance Standard 3: Resource Efficiency and Pollution Prevention (PS3)
* IFC Performance Standard 4: Community Health, Safety and Security (PS4)
* IFC Performance Standard 5: Land Acquisition and Involuntary Resettlement (PS5)
* IFC Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources (PS6)
* IFC Performance Standard 7: Indigenous Peoples (PS7)
* IFC Performance Standard 8: Cultural Heritage (PS8)

*Some projects can trigger IFC PS 3 to 8, which will require specific safeguards, as presented in Section 12.*

World Bank Group Environmental, Health, and Safety (EHS) Guidelines:

Grantees will utilize the World Bank Group Environmental, Health, and Safety (EHS) Guidelines 2.0 (EHS 2.0) Guidelines when reporting on community and occupational health and safety matters. These guidelines provide a comprehensive framework for managing environmental and social risks associated with various project activities.

# Risk Management Strategy

Suggested text: This section includes the identified **environmental and social risks and impacts** during the E&S Screening and E&S Assessment (

Table 2: Social and Environmental Risk and Impacts Summary), and the mitigation measures based on triggered Performance Standards to manage these risks and impacts (Table 3: Strategies for Management of Environmental and Social Risks and Impacts), together with the estimated costs, timeline and assigned responsible person.

*The preliminary ESMP will be further updated into its final version within the first six months of project implementation in line with an update of the other Safeguard Instruments (e.g., SEP, Grievance Mechanism, etc.).*

Table : Social and Environmental Risk and Impacts Summary

|  |  |
| --- | --- |
| **IFC Performance Standards** | **Key E&S Risks and Impacts Applicable to the Project** |
| PS1: Assessment and Management of Environmental and Social Risks and Impacts |  |
| PS2: Labor and Working Conditions |  |
| PS3: Resource Efficiency and Pollution Prevention |  |
| PS4: Community Health, Safety and Security |  |
| PS5: Land Acquisition and Involuntary Resettlement |  |
| PS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources |  |
| PS7: Indigenous Peoples |  |
| PS8: Cultural Heritage |  |

Table : Strategies for Management of Environmental and Social Risks and Impacts

| **Social and Environmental Risks and Impacts** | **Safeguard Instruments or other Management Measures** | **Location** | **Costs** | **Implementation Responsibility** | **Schedule** |
| --- | --- | --- | --- | --- | --- |
| *List the applicable IFC PS and the main potential E&S risks/impacts identified in*  *Table* 2 *in the rows below based on the findings from the ESSE* | *List Safeguard Instruments to address the risk/impact, referencing the mitigation hierarchy (avoid, minimize, mitigate, compensate) where applicable. Specific protocols, or other measures can also be applied if no appropriate Safeguard Instrument is available.* | *- Terrestrial: Island(s), area (e.g. coast, highlands etc.), town(s) etc.*  *- Marine: Coordinates, size of area, references etc.* | *Approximate budget for implementation and monitoring of Safeguard Instrument or other Management Measure* | *GLF, Grantee, Subgrantee, Project Partner, Institution, External Expert* | *Approximate timeline (Quarter and Year) for start of implementation and monitoring of Safeguard Instrument or Management Measure* |
| *IFC PS1: HMR zoning and establishment of no take zone will potentially restrict access for local fishermen* | * *Stakeholder Engagement Plan* * *Grievance Mechanism* * *Process Framework* * *Traceability of catch and bycatch reduction in Galápagos* | *Canal Itabaca, North of Santa Cruz Island* | *US$ 19,000* | *WildAid with external expert* | *SEP: Q2, 2028*  *GM: Q3, 2028*  *PM: Q1, 2029*  *XXX* |
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# Organisation Structure

*Suggested text:* The project's organisational structure is presented in the figure below, illustrating <Grantee>, <Subgrantees> and <collaborating partners>. It depicts the roles/responsibilities for ESMP implementation.

*<include organogram>*

## Roles and Responsibilities

*Suggested text (to be adapted as needed):*

This section outlines the institutional arrangements for the implementation of the ESMP, including the roles and responsibilities in relation to the implementation and monitoring of the ESMP and associated Safeguard Instruments of the Project.

* **Lead Responsibility**: <Grantee> will act as the lead implementing organization, managing alignment with GLFs Environmental and Social Management System (ESMS), through the ESMP and associated Safeguard Instruments throughout the project lifecycle.
* **Monitoring and Evaluation**: <Grantee, Subgrantee, Subcontractor> will be responsible for developing and implementing monitoring programs to verify the effectiveness of management measures.
* **Stakeholder Engagement and Disclosure**: <Grantee, Subgrantee, Subcontractor> will conduct public consultations necessary for the implementation of Safeguard Instruments and actively disclose relevant project information to stakeholders (Refer to the Stakeholder Engagement Plan for detailed responsibilities).
* **Capacity Building and Community Development**: <Grantee> will collaborate with <subgrantee, subcontractor> to initiate capacity building and community development actions.

While the specific roles will be finalized during the first six months of project implementation, this section provides a preliminary overview:

* **Senior Management:** Overall responsibility for ESMP implementation resides with <include position>.
* **Project Manager:** The Project Manager will oversee the day-to-day implementation of the ESMP and Safeguard Instruments.
* **Stakeholder Engagement and Grievance Mechanism:** <include position> will be responsible for leading stakeholder engagement activities and ensuring effective grievance management with project-affected individuals and communities.
* **Monitoring and Evaluation:** <include position> will develop and oversee the implementation of the monitoring program to track the effectiveness of mitigation measures and project impacts.
* **External Environmental and Social Specialists:** (if applicable) These specialists will provide technical expertise and support for environmental and social risk management and monitoring activities.

## Collaboration with Project Partners

*Describe the specific responsibilities of each partner regarding ESMP and Safeguard Instruments. Suggested text:*

<Subgrantee>: <position> will be responsible for developing and implementing <include mitigation measure e.g. traceability of catch and bycatch reduction>

<External Subcontractor> will provide specific support to <include position> for <Monitoring and Evaluation> of the <ESMP>.

# Training and Awareness

*This section summarizes how Grantee will train and raise awareness among staff, subgrantees and contractors, regarding the effective implementation of the ESMP and other Safeguard Instruments (e.g., SEP, Grievance Mechanism). Suggested text (use, adjust and simplify as necessary):*

<Grantee> will develop a training, capacity building and awareness program for all employees, partners and contractors on how to implement the project ESMP and the Safeguard Instruments appended to this ESMP. In addition, all new employees and contractors will attend a compulsory induction session that will include health and safety, environmental and community awareness, among other topics. Written (newsletter/ posters) and verbal (as part of routine briefings) communication methods will also be used to raise awareness on a range of occupational and community health, safety and security issues.

# ESMP Monitoring, Evaluation and Reporting

*This section summarizes monitoring, evaluation and reporting protocols during project implementation including responsibilities. Suggested text (use, adjust and simplify as necessary):*

To assess the effectiveness of the ESMP and ensure management measures are implemented, <Grantee> will conduct internal and external Monitoring and Evaluation (M&E) exercises.

* **Internal Evaluations:** <Grantee> will lead annual internal evaluations using the Table 3 (Strategies for Management of Environmental and Social Risks and Impacts) template. This will be a collaborative effort with the project team, including staff from <Grantee> and <Subgrantees>.
* **ESMP Reporting:** The ESMP Biannual Monitoring Template (Table 4) is the main tool for the Project's ESMS reporting. Progress on **Social and Environmental Risks and Impacts** will be indicated (on schedule, ahead of schedule, completed, slightly delayed, or delayed) and will include information used to document the Progress of Implementation. Reasons for potential delays and proposed solutions will also be documented.
* **External Evaluations:** Table 4 (ESMP Biannual Monitoring Template) can also be used for external ESMP evaluations.

Identifying New Risks and Mitigation:

Annual monitoring will be undertaken to help identify any new environmental or social risks that may arise during project implementation. *<Grantee> will add these new risks and their corresponding mitigation measures to the ESMP (*

*Table* 2 *and Table 3) and report on them in future annual monitoring reports (Table 4: ESMP Biannual Monitoring Template).*

M&E Effectiveness:

<Grantee> will use various methods to assess effectiveness, including:

* **Observations:** Monitoring project activities and their environmental and social impacts.
* **Stakeholder Consultations:** Consulting with stakeholders, particularly project-affected people (PAPs), through methods like focus group discussions or community meetings.

This comprehensive M&E approach ensures continuous improvement of the ESMP and effective management of environmental and social risks throughout the project lifecycle.

Table : ESMP Biannual Monitoring Template

| **E&S Risks and Impacts** | **Safeguard Instruments or other Management Measures** | **Progress of Implementation** | **Sources of information** |
| --- | --- | --- | --- |
| *Insert from Table 3(Strategies for Management of Environmental and Social Risks and Impacts)* | *Insert from Table 3 (Strategies for Management of Environmental and Social Risks and Impacts)* | *- on schedule*  *- ahead of schedule*  *- complete*  *- slightly delayed*  ***-*** *delayed* | *Include information used to document*  *Progress of Implementation* |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

# Essential E&S Safeguard Instruments

*This section presents the core Safeguards Instruments required for all projects. The Grantee can simplify or adapt this to be fit for purpose and outline the measures to be taken by the Grantee to align or comply with the requirements where applicable.*

## Stakeholder Engagement Plan (SEP)

*Grantees will develop a SEP following applicable Ecuadorian law and pertinent international standards, notably the IFC PS 1, which is the Grantees plan for identifying, understanding, and engaging with project stakeholders, particularly project affected people. It sets criteria for the responsible management of relationships between projects and stakeholders. It clearly outlines an action plan for the different types of stakeholders and mechanisms for such, and levels of engagement that will be required for each.*

*To do so, Grantees will use the template presented in Annex-G-1.* *The Grantee may produce the SEP as a stand-alone document or as Appendix A: Stakeholder Engagement Plan attached to this ESMP. The SEP will be accompanied by a Stakeholder Register.*

## Grievance Mechanism

*Grantees will establish a Grievance Mechanism to receive and address complaints and grievances (related to the project) from various stakeholders, particularly project affected peoples and*

*vulnerable groups as well as communities and project workers, related to the project. It sets out the steps to be followed to ensure the project is responsive to stakeholder concerns in a timeline and transparent manner, with the objective of resolving issues. Grantees must maintain a Grievance Register for documenting grievances and project responses.*

*Grantees will develop their Grievance Mechanism using the template presented in Annex-G-2. The Grantee may produce the Grievance Mechanism as a stand-alone document or as Appendix B: Grievance Mechanism attached to this ESMP.*

## Other Additional Essential Instruments

*Grantee is required to align with the GLF Environmental and Social Policy (Annex A of ESMS Manual) and the principles outlined therein. The following sections provide an overview of additional essential instruments to help align Grantees with these principles, to be considered by all projects.*

### Labour and Working Conditions Statement

*Suggested text (use, adjust and simplify as necessary):* The *<Grantee>* shall:

1. Ensure compliance with Ecuadorian labour and working conditions laws, International Labour Organization (ILO) Core Conventions, and internationally recognized workers' rights.
2. Abstain from employing child labour, hiring minors as workers, or using forced labour under any circumstances.
3. Uphold a general principle of equal remuneration for work of equal value, without discrimination based on birth, age, sex, ethnicity, colour, social origin, language, religion, political affiliation, property, sexual orientation, health status, disability or any other difference.
4. Ensure that all employees are treated fairly and without discrimination in every aspect of employment, including hiring, compensation, working conditions, access to training and career development, overtime pay, holidays, sick leave, fringe benefits, and any other applicable benefits, as well as termination and retirement procedures.
5. Provide employees with comprehensive documentation outlining their rights and working conditions according to Ecuadorian labour law. This should include, but is not limited to, details about working hours, wages, overtime, compensation, and social or statutory benefits.
6. Establish and operate a grievance mechanism for its employees.
7. Prioritize hiring Galápagos residents and follow the local regulations in that regard to secure authorization to hire from outside the region if the necessary resources are unavailable locally.
8. Ensure that community work is truly voluntary, following an agreement with the community, and is free from any form of sexual and gender-based violence (SGBV), such as sexual harassment, sexual exploitation and abuse.
9. Protect workers and community labourers from occupational hazards and prevent accidents by developing a Community and Occupational Health and Safety Plan, when necessary.

### Gender Mainstreaming Commitment

*Suggested text (use, adjust and simplify as necessary):* The *<Grantee>* shall:

1. Support the pursuit of equality among all project participants, regardless of their sexual orientation and gender identity.
2. Avoid worsening current gender inequalities and, where feasible, work to lessen and alleviate such inequalities in the project's context.
3. Encourage broad participation in decision-making and implementation of project actions, irrespective of sexual orientation and gender identity.
4. Increase women's participation in decision-making and facilitate their involvement and control in project activities.
5. Prevent all types of gender-based violence, including harassment, exploitation and sexual abuse. If such incidents occur, respond with a human rights perspective, with a victim-centred perspective, acting promptly and effectively while respecting the principles of doing no harm, maintaining confidentiality, ensuring safety, practicing non-discrimination, involving the victim in decision-making, and obtaining informed consent for the disclosure and use of information.
6. Align project activities with GLF's Gender Policy, where feasible, and in no case contradict or undermine that plan.

### Accidents and Serious Incidents Reporting Instrument

*GLF requires Grantees to promptly report any event, incident or accident related to environmental, occupational health and safety, public health and safety, working conditions in general or social issues occurring in the project area that may have a significant adverse impact, attract negative external attention, or give rise to potential liability. The Grantee must set up processes and systems to report and record work-related accidents, diseases, dangerous occurrences, and incidents. The information provided by the Grantee will be considered confidential and treated as proprietary information. All reported occupational accidents, diseases, dangerous occurrences, incidents, and near misses should be investigated by someone knowledgeable/competent in occupational safety. The investigation should ascertain what occurred, establish the cause of the incident, and identify measures required to prevent a recurrence.*

# Other E&S Safeguard Instruments and Tools

*Depending on the type, scale, likelihood, and impact of E&S risks identified during E&S Screening and E&S Assessment, the Grantee may also be required to conduct specific studies or comprehensive risk mitigation or management plans for triggered IFC PS's or develop additional Safeguard Instruments and/or procedures, tools etc. An overview of what these are and what they should entail are provided in the sections below.*

*GLF will work with Grantees during E&S Screening and E&S Assessment to determine what is required for each project and this should be developed by the Grantee. GLF is not prescriptive in how projects design and combine different instruments. What is key however, is that risks and impacts are identified and are being managed, and that relevant plans and measures are in place to do so.*

## Process Framework

*When GLF-funded projects involve imposing or enforcing restrictions on access to natural resources that negatively impact people's livelihoods e.g. for conservation reasons, Grantees must adhere to the IFC Performance Standard 5 guidance and consider the need to develop a Process Framework. This Safeguard Instrument is a critical tool for projects that involve access restrictions within the Galapagos National Park, or marine reserves. It outlines a systematic approach to identifying, assessing, and managing the potential social and economic impacts these restrictions may have on local communities. It will include information on the socioeconomic baseline, the planned process for identifying and assessing impacts, and the agreed measures for avoiding, minimising and compensating for these impacts. GLF will develop a template for a Process Framework and make this available to Grantees.*

## Free, Prior, and Informed Consent (FPIC)Protocol

*All Grantees planning to carry out projects that may impact Indigenous Peoples' settlements, livelihoods, and well-being should respect the right of Indigenous Peoples to Free, Prior, and Informed Consent (FPIC)[[1]](#footnote-2). A FPIC Protocol will clearly set out the objectives of FPIC, identifies indigenous rightsholders and describes the processes through which FPIC will be sought, and for what. It is not likely to be applicable in the Galapagos, however, should it be required, it is a critical Safeguard Instrument as it allows Indigenous People and local communities to understand the proposed project interventions, and to provide input into these, and align on them in such a way that respects their rights. GLF will develop a template for a FPIC and make this available to Grantees.*

## Additional Instruments

*Additional instruments such as management plans, procedures, and protocols related to the following aspects may be required by specific GLF-funded projects depending on the type, scale, likelihood, and impact of E&S risks:*

* *Community and occupational health, and safety*
* *Security management*
* *Emergency response*
* *Waste management*
* *Hazardous materials management*

*Note- this list is not exhaustive.*

### Community and Occupational Health and Safety

*Projects may involve risks to workers and communities arising from their activities, equipment, and, in some cases, from the infrastructure involved, whether under construction, maintenance or decommissioning. Grantees must safeguard communities from hazards that could be caused or worsened by GLF funded- projects e.g. incidents, accidents, pollution/ spills, and the spread of infectious diseases, as well as risks associated with deploying security personnel for surveillance or enforcement tasks. Given the type and nature of projects to be funded by GLF, such risks may be addressed through the ESMP, but in some cases specific plans or Standard Operating Procedures may be required. Key aspects to be addressed are*:

* *Anticipate and avoid adverse impacts on the health and safety of workers and affected communities during the project, arising from both routine and non-routine circumstances.*
* *Provide Health and Safety (H&S) training to workers intervening in a project; maintain H&S records, including mandatory training delivery, near-misses, incidents, and accidents; and report to GLF accidents or activities resulting in occupational injuries, deaths, disability, or disease and the remedial measures put in place.*
* *Ensure that personnel and property are safeguarded following relevant human rights principles and in a manner that avoids or minimizes risks to affected communities.*

### Security Management

*A Security Management Plan consists of actions aimed at safeguarding and minimizing security and human rights risks that could threaten communities, employees, facilities, operations, and the reputation of GLF and its Grantees. The Security Plan provides guidance, organization, integration, and continuity to the Grantee's security and asset-protection program. It is developed with the understanding that effective security measures and respect for human rights can coexist. The GLF's Security Management Plan can serve as a comprehensive plan for Grantees as they develop their own plans.*

### Emergency Response

*Grantees may need to establish necessary arrangements for emergency prevention, preparedness, and response. An Emergency Response Plan (ERP) shall be established to ensure an effective and coordinated response to any emergency during a project. Emergency preparedness and response planning are necessary to identify potential emergency situations and implement plans to prevent or respond to them. The goal is to avoid harm to people and the environment by responding quickly and effectively to emergencies. Key aspects to be addressed are*:

* *Identify all reasonably foreseeable emergency scenarios during all stages of the Project.*
* *Implement controls (engineering or other) commensurate with the nature and scale of the risk.*
* *Identify emergency equipment necessary.*
* *Develop an effective emergency communication strategy.*
* *Develop specific response procedures based on the emergency level classification of each emergency scenario.*
* *Develop a comprehensive training programme for emergency responders, including drills.*
* *Establish procedures for interaction with regulatory authorities and emergency services.*
* *Establish emergency facilities and equipment requirements for responding to an emergency.*

### Waste Management

*Grantee may be required to develop a Waste Management Plan or procedure that integrates the strategies and actions to manage waste properly (hazardous and nonhazardous) and special waste generated by a project. It shall address classification, collection, transportation, treatment, storage, and final waste disposal to minimize environmental impacts and protect public health. Grantee shall include measures to reduce the source, reuse, recycling and waste exploitation, promoting environmental sustainability and circular economy.*

### Hazardous Material Management

*Hazardous materials are defined as materials that represent a risk to human health, property, or the environment due to their physical or chemical characteristics. Grantees should be aware that they must take extreme caution if their project involves poisons, toxic substances, or other compounds intended to eliminate certain invasive species. They must obtain approval from the Galápagos Agency for Regulation and Control of Biosecurity and Quarantine (ABG) and meet the abovementioned requirements. Where a Grantee is using, storing, or handling any quantity of hazardous materials in GLF-funded projects they may need to put in place a procedure to manage the associated risks. Key aspects to be addressed are*:

* *Establish guidelines, safety procedures, technical requirements and control measures for the safe handling of hazardous materials, in compliance with international, national, and local regulations, as well as best environmental and occupational health practices.*
* *Prevent occupational accidents, minimize risks to workers and communities, and the impact on the environment.*
* *Adopt risk management strategies based on scientific knowledge to prevent contamination and reduce risks related to hazardous materials.*
* *Document the project´s hazardous materials management.*
* *Having trained personnel available to handle emergencies, including poisonings and other chemical incidents.*

# ESMP Appendices

# Appendix G-1 – Stakeholder Engagement Plan TemPLATE

# Appendix G-2 – Grievance Mechanism TemPLATE

1. UN Declaration of the Rights of Indigenous Peoples (UNDRIP) United Nations General Assembly, 2007.) [↑](#footnote-ref-2)