

**Republic of Peru / National Scientific Research
and Advanced Studies Program
(PROCIENCIA)**

**STRENGTHENING PERU'S NATIONAL SCIENCE,
TECHNOLOGY AND INNOVATION SYSTEM
(P176297)**

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

December 10, 2021

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The Republic of Peru (the “**Borrower**”) will implement the Project “Strengthening Peru's National Science, Technology and Innovation System” (the “**Project**”) through the National Scientific Research and Advanced Studies Program (PROCIENCIA). The International Bank for Reconstruction and Development (the “**Bank**”) has agreed to provide financing for the Project.
2. The Borrower will implement material measures and actions so that the Project is implemented in accordance with the Environmental and Social Standards (**ESSs**). This Environmental and Social Commitment Plan (**ESCP**) sets out material measures and actions, any specific instruments or plans, as well as the timing for each of these.
3. The Borrower will also comply with the provisions of any other E&S instruments required under the ESSs and referred to in this ESCP, such as the Environmental and Social Management Framework (ESMF), Environmental and Social Management Plans (ESMP), the Stakeholder Engagement Plan (SEP), Labor Management Procedures (LMP), and the timelines specified in those E&S documents. These instruments may be revised from time to time during Project implementation with prior written agreement from the Bank.
4. The Borrower is responsible for compliance with all the requirements of the ESCP, even when implementation of specific measures and actions is conducted by the Ministry, agency or unit referenced in 1. above.
5. Implementation of the material measures and actions set out in this ESCP will be monitored and reported to the Bank by the Borrower as required by the ESCP and the conditions of the legal agreement, and the Bank will monitor and assess progress and completion of the material measures and actions throughout implementation of the Project.
6. As agreed between the Bank and the Borrower, this ESCP may be revised from time to time during Project implementation to reflect adaptive management of Project changes and unforeseen circumstances, or in response to assessment of Project performance conducted under the ESCP itself. In such circumstances the Borrower, through PROCIENCIA, will agree to the changes with the Bank, and will update the ESCP to reflect such changes. Agreement on changes to the ESCP will be documented through the exchange of letters signed between the Bank and the Borrower, through PROCIENCIA’s General Director. The latter will promptly disclose the updated ESCP.
7. Where Project changes, unforeseen circumstances, or Project performance result in changes in risks and impacts during Project implementation, the Borrower shall provide additional funds, if needed, to implement measures to address such risks and impacts.

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
MONITORING AND REPORTING		
<p>A</p>	<p>REGULAR REPORTING</p> <p>Prepare and submit to the Bank regular monitoring reports on the Project's performance in environmental, social, and health and safety (ESHS) aspects, in form and content acceptable to the Bank. The reports shall include, among other things:</p> <ul style="list-style-type: none"> • Progress in ESCP implementation. • Progress in the drafting and implementation of all the environmental and social instruments referred to in the ESCP. • Main findings related to risks / impacts identified and managed. • Summary of environmental and social management activities developed in line with the Project's instruments (Environmental and Social Management Framework, Stakeholder Engagement Plan and Labor Management Procedures), and of activities developed by each Sub-Project and Scholarship, in line with the description contained in their respective specific environmental and social management plans (ESMPs). • Summary of activities to be carried out during the next calendar semester. • Summary of capacity-building activities and training carried out during the calendar semester. • Summary of disclosure, participation and consultation activities carried out during the calendar semester. • Record of complaints and grievances received and addressed during the calendar semester through the Project's grievance redress mechanisms (GRM) for stakeholders. <p>The Project Operational Manual (POM) shall contain an annex with the minimum content and format of the above-mentioned reports.</p>	<p>Reports provided to the Bank every six months during Project implementation. Each report must be submitted no later than 30 days after the end of each calendar semester, covering the calendar semester.</p> <p>PROCIENCIA - PIT</p>

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
<p>B INCIDENTS AND ACCIDENTS</p> <p>1. <u>Flash Report</u>: Immediately notify the Bank of any incident or accident related to the Project which has or is likely to have a significant adverse effect on the environment, affected communities, the public or workers, including, among others, workplace accidents resulting in serious injury or death, and cases of sexual exploitation, and abuse (SEA), or sexual harassment (SH). In addition to describing the immediate measures taken to address the incident or accident, the flash report shall contain sufficient details of the incident or accident that has occurred, its severity (especially if a fatality is involved), and the circumstances surrounding the incident or accident.</p> <p>2. <u>Detailed Report</u>: Thereafter, prepare and submit to the Bank a report detailing the incident or accident, including a root cause analysis, and indicating the measures needed to address and prevent its recurrence.</p> <p>The POM shall contain an annex containing the minimum content and format of the Flash Reports and Detailed Reports, as well as the details of the process through which the above-mentioned reports shall be communicated to the Bank.</p>	<ol style="list-style-type: none"> 1. Notify the Bank, using the Flash Report, within 48 hours after learning of the incident / accident. 2. Send the Detailed Report of the incident / accident to the Bank within the timeframe to be established by the Bank following its receipt of the Flash Report mentioned in B1. 	PROCIENCIA - PIT
ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS		

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
<p>1.1 ORGANIZATIONAL STRUCTURE</p> <p>Ensure the Project implementation team (PIT), to be established within PROCENCIA, is composed of qualified personnel to support the management of the ESHS risks of the Project, including at least (number to be assessed and adjusted as necessary during Project implementation) one (01) socio-environmental specialist working full-time for the Project, with qualifications and experience acceptable to the Bank.</p> <p>Promptly notify the Bank of any Subproject or any Project activity that may affect indigenous peoples. If the Bank so request in writing, hire or appoint a social specialist to support the management of ESHS risks of the Project to avoid affecting indigenous peoples, consistent with ESS7. Such Subproject or Project activity shall not be carried out until the social specialist has been hired or appointed, as requested by the Bank.</p> <p>The POM shall contain an annex detailing the responsibilities of the socio-environmental specialist, as well as describing the hiring procedure involved. It shall also describe the scenarios under which the Bank needs to be provide with notice of Subprojects and Project activities that may affect indigenous peoples.</p>	<p>The hiring or appointment of the socio-environmental specialist shall occur no later than 30 days after the Effective Date. The organizational structure, including the socio-environmental specialist, shall be maintained throughout Project implementation.</p> <p>Notify the Bank of any Subproject or Project activity that may affect indigenous peoples no later than 10 days after identifying such Subproject or Project activity. Once requested by the Bank, the social specialist shall be hired or appointed in a timeframe acceptable to the Bank.</p>	<p>PROCENCIA - PIT</p>

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
<p>1.2 ENVIRONMENTAL AND SOCIAL MANAGEMENT TOOLS AND INSTRUMENTS</p> <ol style="list-style-type: none"> 1. Update, disclose, consult, adopt, and implement the Project's Environmental and Social Management Framework (ESMF), in form and content acceptable to the Bank. The ESMF shall be developed in accordance with the requirements of the relevant ESSs, the Bank's environmental, health and safety (guidelines (EHSGs), and other relevant good international industry practices (GIIP). The activities included in the ESMF exclusion list shall not be supported by the Project. 2. Prepare, disclose, consult, adopt, and implement specific environmental and social management plans (ESMP) for relevant Project activities, mainly for Sub-Projects and Scholarships, as necessary, and in accordance with the content determined in the evaluation process to be conducted under the ESMF, the LMP, the SEP, the relevant ESSs, EHSGs and other relevant GIIP, in a manner that is acceptable to the Bank. 3. Incorporate the necessary environmental health and safety requirements in the Specific Operational Manuals to be developed for each Sub-Project, Scholarship and other Project activity subject to competitive selection, in a form and content acceptable to the Bank, in line with the requirements of the relevant ESSs, the ESMF, the EHSGs and other relevant GIIP. Thereafter, supervise compliance with said requirements. 	<ol style="list-style-type: none"> 1. Updating and disclosure of the Project's ESMF shall be carried out no later than 90 days after the Effective Date. Once adopted, the ESMF shall be maintained throughout Project implementation. 2. The specific environmental and social management plans (ESMP) shall be drafted, finalized, and approved by the PIT before implementation of the corresponding Project activities, mainly selected Sub-Projects and Scholarships, as necessary. Once approved, the ESMPs shall be implemented throughout the implementation of the corresponding Project activities. 3. The Specific Operational Manuals shall be submitted for the Bank's no objection before the launch of the corresponding competitive processes, and be implemented throughout Project implementation. 	<p>PROCIENCIA - PIT</p>

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
<p>1.3 SCHOLARSHIP AGREEMENTS, STUDENT AGREEMENTS AND GRANT AGREEMENTS TO BE SIGNED BETWEEN PROCIENCIA AND ELIGIBLE PUBLIC UNIVERSITIES, ELIGIBLE STUDENTS AND ELIGIBLE GRANTEES, RESPECTIVELY</p> <p>Ensure that the Scholarship Agreements to be entered into between PROCIENCIA and Eligible Public Universities, Student Agreements to be entered into between PROCIENCIA and Eligible Students, and Grant Agreements to be entered into between PROCIENCIA and Eligible Grantees, include the relevant ESHS requirements, particularly the requirement to prepare and implement an ESMP during the implementation of the Scholarship, Sub-Project and/or grant, and to obtain the necessary ESHS permits, licenses and authorizations, etc., in line with the ESMF and LMP provisions.</p> <p>Monitor compliance with the conditions established in the Scholarship Agreements, Student Agreements, Grant Agreements and ESMPs throughout Project implementation.</p>	<p>Throughout Project execution, as necessary.</p>	<p>PROCIENCIA - PIT</p>
<p>1.4 PERMITS, LICENSES AND AUTHORIZATIONS</p> <p>Obtain, or assist in obtaining, and enforce or assist in enforcing, as appropriate, the ESHS-related permits, licenses and authorizations needed to carry out Project activities, mainly those involving Sub-Projects and Scholarships, including environmental certifications in accordance with the regulations of Peru's Environmental Impact Assessment System.</p>	<p>Throughout Project implementation, as necessary.</p> <p>Permits, licenses and authorizations shall be obtained in compliance with the provisions of the relevant national regulations, in terms of dates, formats, and substance, in accordance with the provisions of the corresponding Scholarship Agreements, Student Agreements and Grant Agreements.</p>	<p>PROCIENCIA - PIT</p>

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
1.5	<p>TECHNICAL ASSISTANCE</p> <p>Ensure that consultancies, studies, capacity-building activities, trainings and any other types of technical assistance activities under the Project, including those related to environmental and social instruments, conform to terms of reference (TOR) that are acceptable to the Bank, consistent with the ESSs. The Bank's TOR review and no objection processes shall be described, as necessary, in the Project Operational Manual.</p>	Throughout Project implementation, as set out in the Operational Manual.	PROCIENCIA - PIT
ESS 2: LABOR AND WORKING CONDITIONS			
2.1	<p>LABOR MANAGEMENT PROCEDURES</p> <ol style="list-style-type: none"> 1. Finalize, adopt and thereafter implement the Labor Management Procedures (LMP) in a manner acceptable to the Bank and in accordance with ESS2. 2. Include in the LMP the internal protocols of the organization on the management of risks of sexual harassment in the workplace. 3. Include in the LMP a code of conduct for Project workers. 	<p>The disclosure of the final version of the LMP is a condition precedent to the Effective Date.</p> <p>The LMP shall be implemented throughout Project implementation. The periodic reports in A above shall include details on the implementation of the LMP.</p>	PROCIENCIA - PIT
2.2	<p>GRIEVANCE MECHANISM FOR PROJECT WORKERS</p> <ol style="list-style-type: none"> 1. Establish, maintain and implement a grievance redress mechanism (GRM) for Project workers, as described in the LMP, in line with ESS2. 2. The Project workers' GRM shall be implemented in a transparent manner, and in accordance with ESS2, in response to any work or employment-related matter submitted by Project workers. 	The GRM for workers shall be operational prior to the Effective Date and thereafter maintained throughout Project implementation.	PROCIENCIA - PIT
2.3	<p>OCCUPATIONAL HEALTH AND SAFETY MEASURES</p> <p>Prepare, adopt and implement the Occupational Health and Safety (OHS) measures specified in the ESMF and ESMP.</p>	The same timeframes indicated for action 1.2. (1) (2)	PROCIENCIA - PIT

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
2.4	<p>CODE OF CONDUCT</p> <p>Establish provisions in the tender documents to require contractors and supervising entities, if any, to apply a Code of Conduct for their workers and subcontractors involved in the respective Project activities or Sub-Projects. No infrastructure construction activities are expected beyond minor/punctual activities to accommodate new lab equipment.</p> <p>The Code of Conduct, based on the guidelines contained in the LMP, shall address the risks of SEA/SH in the workplace.</p>	This requirement shall be embedded in the ESMPs to be prepared in the timeframes indicated for action 1.2. (2). The ESMPs, including requirement to apply a Code of Conduct, shall be included in the respective tender documents and contracts with the contractors and supervising entities.	PROCIENCIA - PIT
ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT			
3.1	<p>E-WASTE MANAGEMENT PLAN (EWMP)</p> <p>Ensure that the eligible grantees of the Sub-Projects that involve the equipment and / or accreditation of laboratories develop and adopt E-Waste Management Plans as part of their respective ESMPs, consistent with the provisions of the ESMF, and thereafter supervise the adequate implementation of said plans.</p>	Same timeframe and indicated under action 1.2. (2)	PROCIENCIA - PIT
3.2	<p>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</p> <p>Relevant aspects of this standard shall be considered, as needed, under action 1.2 (2) above, including, inter alia, energy efficiency measures and measures to be taken for managing hazardous and non-hazardous waste.</p>	Same timeframe as indicated under action 1.2. (2)	PROCIENCIA - PIT
ESS 4: COMMUNITY HEALTH AND SAFETY			
4.1	<p>COMMUNITY HEALTH AND SAFETY</p> <p>Relevant aspects of this standard shall be considered, as needed, under action 1.2 (2) above, including, inter alia, measures to avoid risks to the community resulting from inappropriate waste management and the testing of new technologies on individuals. relevant WHO guidelines and other relevant international COVID-19 protocols shall be included.</p>	Same timeframe as indicated under action 1.2. (2)	PROCIENCIA - PIT

4.2	<p>SEXUAL EXPLOITATION AND ABUSE/SEXUAL HARASSMENT (SEA/SH) RISKS</p> <p>Incorporate measures in the ESMPs shall incorporate measures to prevent and respond to gender-based violence, SEA, and SH. Such measures shall include a Code of Conduct, a flow chart describing how incidents shall be handled, and trainings to explain these rules and the sanctions applicable in the event of non-compliance.</p>	The same timeframes indicated for action 1.2. (2)	PROCIENCIA - PIT
ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT			
	This standard is not currently relevant.		
ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES			
6.1	<p>BIODIVERSITY RISKS AND IMPACTS</p> <p>Relevant aspects of this standard shall be considered, as needed, under action 1.2 (2) above, including, inter alia, measures to avoid impacts on natural and potentially critical natural habitats in the case of Project activities, mainly Sub-Projects and Scholarships, that involve field work.</p>	Same timeframe as indicated under action 1.2. (2)	PROCIENCIA - PIT
ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES			

<p>7.1</p>	<p>INDIGENOUS PEOPLES MEASURES</p> <ol style="list-style-type: none"> 1. Prepare a social assessment to identify underserved and vulnerable populations (indigenous, Afro Peruvians, disabled, among others), with a gender perspective, in the context of the Project. 2. Include measures in the ESMF to promote the inclusion of underserved and vulnerable populations, within the framework of the Project's objectives, considering the results of the social assessment. 3. Develop effective participation measures in the PPPI for underserved and vulnerable populations, considering the results of the social assessment. 4. Provide training on non-discrimination and / or unconscious biases for Scholarship and recipient selection committees. This training shall be include in the POM. 5. Promote the participation of indigenous women, Afro-Peruvian women, and other underserved populations that may face various levels of vulnerability, through a direct approach to underserved populations. This inclusive participation shall be further set out in the SEP. 6. Use the Environmental and Social Management Forms (ASSS Identification Sheet, ESMPs, Environmental and Social Evaluation Sheet, ASSS Baseline, Environmental and Social Report) to identify how the implementation of the Projects activities and Sub-Projects could positively or negatively affect the IPs. 7. Define selection criteria in the doctoral programs for which scholarships are provided to prioritize the inclusion of underserved populations among the beneficiaries of the Project, such as women, indigenous people, Afro-descendants and people with disabilities. This criteria shall be included in the POM. 	<ol style="list-style-type: none"> 1. The same timeframe indicated for action 1.2. (1). 2. The same timeframes indicated for action 1.2. (1). 3. The same timeframe indicated for action 10.1 (1). 4. With the frequency to be set out in the POM. 5. The same timeframe indicated for action 10.1 (1). 6. As part of the screening process of Project activities and Sub-Projects to be set out in the ESMF. 7. The same timeframe indicated for action 1.2 (2) 	<p>PROCIENCIA - PIT</p>
<p>7.2</p>	<p>GRIEVANCE MECHANISM</p> <p>The Grievance Redress Mechanism (GRM) (see Action 10.2) shall be disclosed to all potentially affected and interested parties, using an effective, and culturally sensitive format designed for indigenous populations and vulnerable groups, depending on the context.</p>	<p>The GRM shall be operational prior to the Effective Date and thereafter maintained throughout Project implementation.</p>	<p>PROCIENCIA - PIT</p>
<p>ESS 8: CULTURAL HERITAGE</p>			

	This standard is not currently relevant.		
ESS 9: FINANCIAL INTERMEDIARIES			
	This standard is not currently relevant.		
ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE			
10.1	<p>STAKEHOLDER ENGAGEMENT PLAN (SEP) PREPARATION AND IMPLEMENTATION</p> <ol style="list-style-type: none"> 1. Prepare, consult, adopt, disclose, and implement a Stakeholder Engagement Plan (SEP) which includes all necessary mechanisms to promote effective stakeholder engagement. 2. The SEP shall include a Communication Plan (CP) for Project stakeholders. This is required on account of the quantitative and qualitative complexity of the actors that comprise SINACTI (National Science, Technology and Innovation System) and who operate in different parts of the country. The Plan shall include an intercultural and gender-sensitive approach aimed at promoting inclusion. 3. The call for proposals shall be widely distributed to all Project stakeholders (SINACTI), participating and non-participating universities, national research and education institutions in different Peruvian provinces, and civil society organizations that work with indigenous and Afro-descendant populations, all in accordance with the SEP. 	<ol style="list-style-type: none"> 1. Disclose the draft version of the SEP before Project appraisal. 2. Adopt and disclose the updated version of the SEP no later than 90 days after the Effective Date. Once adopted, the SEP shall be maintained throughout Project implementation. 	PROCIENCIA - PIT
10.2	<p>PROJECT GRIEVANCE REDRESS MECHANISM</p> <ol style="list-style-type: none"> 1. Develop, adopt, maintain and apply a grievance redress mechanism, as described in the SEP. 2. The PIT shall use the existing grievance redress mechanism designed under loan 8682-PE and shall update the Procedures Manual for handling claims and complaints arising from Project activities. 	The Project GRM shall be operational prior to the Effective Date and thereafter maintained throughout Project implementation.	PROCIENCIA - PIT
CAPACITY SUPPORT (TRAINING)			

FC1	<p>TRAINING FOR PIT STAFF AND KEY SPECIALISTS FROM PROCIENCIA AND CONCYTEC</p> <p>Carry out trainings for all PIT specialist staff and specialists from key units within PROCIENCIA and CONCYTEC on the WBG's new Environmental and Social Standards and on the documents/instruments relating to the Project.</p>	Ongoing trainings during the first year of Project implementation, as necessary	PROCIENCIA-PIT.
FC2	<p>TRAINING FOR ELEGIBLE PUBLIC UNIVERSITIES, STUDENTS, GRANTEEES AND OTHER RELEVANT ACTORS</p> <p>Implement ongoing trainings for eligible public universities, eligible students, eligible grantees and other actors in the science, technology and innovation areas, such as researchers, thesis students, monitors and Sub-Project and Scholarships personnel, on the most relevant ESHS topics related to the Project, as well as on corresponding prevention and mitigation measures, including the development of environmental and social management plans, in accordance with the provisions of the Environmental and Social Management Framework (ESMF).</p>	Ongoing trainings, as needed	PROCIENCIA-PIT