

**Annex 01: Texas Tech University Costa Rica Campus Building
Environmental and Social Action Plan (ESAP)**

Item No.	Reference	Action Item	Product/Deliverable	Anticipated Completion Date
PS 1: Assessment and Management of Environmental and Social Risks and Impacts				
1.1	Environmental and Social Management System (ESMS)	1. Provide a copy of the final ESMS, explicit, detailed and specific for the Project, that includes: (i) policies; (ii) internal procedures for the Borrower’s compliance with the Environmental and Social Management Plan (“ESMP”); (iii) procedures for identifying, evaluating and managing the potential environmental, social, occupational health and safety, and labor risks and impacts, associated with each activity of the project and for any contractors and sub-contractors; (iv) organization and assignment of responsibilities for implementation of this ESMS; (v) training; and (vi) periodic audits and inspections with respect to Environmental, Social, and Health and Safety (“ESHS”) requirements, applicable by law.	1. Copy of the final ESMS for the Project.	1. Six months after the first disbursement.
1.2	ESHS Policy	1. Provide an Environmental, Social, Health and Safety (“ESHS”) overarching policy, taking into consideration the context and needs of the Borrower and/or the Project.	1. Copy of ESHS policy for the Borrower or the Project, if different.	1. Six months after the first disbursement.
		2. Complement this overarching policy with communications and monitoring programs to all members and levels of its organization.	2. Evidence of implementation of the communications and monitoring programs to all members and levels of the organization.	2. Six months after the first disbursement.
		3. Create a mechanism to measure continuous improvement in policy implementation	3. Mechanism of continuous improvement.	3. Six months after first disbursement.

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1.3	Management Programs	1. Develop within an Environmental and Social Management Plan (“ESMP”) the following, site specific, management programs: (i) an Environmental Surveillance Program (“ESP”), (ii) an Integral Solid Waste Management Program, which will emphasize in measures to reduce, reuse and recycle those inert materials such as metal, paper, plastic, etc., and also provide special measures to the hazardous waste, like oil, grease, paint/solvents, etc., especially from the laboratories and cooking kitchens, in accordance to local environmental and sanitary laws and regulations, especially those from the municipality; and (iii) a Health and Safety Management Program.	1. Copy of the updated ESMP, with the site-specific management programs of: (i) Environmental Surveillance Program (“ESP”), (ii) Integral Solid Waste Management Program; and (iii) Health and Safety Management Program.	1. 45 days after signing the loan agreement.
1.4	Organizational Capacity	2. Appoint and maintain for the Project, throughout operation, a qualified on-site Environmental Manager (Sustainable Manager) and an Occupational Health and Safety (OHS) Manager, for each one to report directly to their correspondent Manager/Director, with independent reporting lines to Corporate Management/General Director.	2. Appointment of the designated personnel for the Project, throughout operation.	2. 45 days after signing the loan agreement.
1.5	Emergency Preparedness and Response	3. Provide an updated detailed and site-specific Emergency Preparedness and Response (EPR) Plan, to minimize risk to employees/students in the case of natural disasters or technological danger, with the contact information of the appropriate and relevant collaborative third parties.	3. Updated, detailed and site-specific EPR Plan, for the Project.	3. 45 days after signing the loan agreement.
1.6	Monitoring and evaluation indicators	1. Develop, or in case they already exist, provide details of the key performance indicators to be monitored and met, in order to measure the effectiveness of the environmental and social management plan and/or the environmental surveillance program, as well as reference to all legal and contractual obligations during the operation phase.	1. List of management and success key performance indicators.	1. 45 days after signing the loan agreement.
1.7	Project Compliance with	1. Through an Independent Environmental and Social Consultant (IESC), periodically prepare a consolidated report covering environmental, social, health and safety	1. Periodic environmental and	1. annually during the loan term.

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	Applicable Standards	issues and work to provide a status of compliance with the Environmental Sustainability Policy of the IIC, legislation of Costa Rica, IDB Environmental and Social Policies, and IFC Performance Standards, including the progress of EMP actions, with respect to established indicators.	social compliance report.	
1.8	Grievance Mechanism for the construction phase	1. Provide: (i) copies of the internal (direct employees, academic personnel and students) and external Grievance Mechanism (communities and/or owners within the indirect area of influence, with potential impact or interest) for the construction phase; and (ii) copies of the evidences of its implementation. This grievance mechanism should include details of how these complaints are recorded, investigated / evaluated and the follow-up and closure / resolution process.	1. Copies of the Internal and External Grievance Mechanism for the operation phase	1. 45 days after signing the loan agreement.
			2. Copies of the evidences of its implementation	2. Progress report in each biannual Environmental and Social Compliance Report.
PS 2: Labor and Working Conditions				
2.1	Human Resource Policies and Procedures	1. Provide human resource (HR) policies and procedures for the Project.	1. Copy of the human resource policies and procedures.	1. 45 days after signing the loan agreement.
		2. Develop and implement a policy of gender equality, equal opportunity, non-discrimination including indicators to measure the results of the policy's implementation so as to guarantee that the Project will not discriminate against workers in any aspect of employment relations (principal of equal opportunity and fair treatment) and/or due to his/her gender and that both men and women are benefitting from the positive impacts of the Project.	2. Copy of the policy of gender equality, equal opportunity, non-discrimination.	2. 45 days after signing the loan agreement.
2.2	Workers Engaged by Third Parties	1. Provide the policies and procedures for the management and monitoring of the performance of workers hired by third parties.	1. Copy of these policies and procedures.	1. 45 days after signing the loan agreement.

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		2. Provide the procedures adopted by the contractors for the hiring and disengagement/retrenchment, of their workers.	2. Copy of these procedures.	2. 45 days after signing the loan agreement.
2.3	Protecting the Workforce	1. Provide an Employment Procedure and evidence of its implementation, in which the hiring and firing conditions and terms, will meet the local and OIT regulation; including, at a minimum, norms/safeguards to avoid child labor and forced labor.	1. Copy of the employment procedure.	1. 45 days after signing the loan agreement.
			2. Copies of the evidences of its implementation.	2. Progress report in each biannual Environmental and Social Compliance Report.
2.4	Coexistence Manual	1. Provide a coexistence manual (rulebook) for employees, contractors and sub-contractors workers, of the project.	1. Copy of the coexistence manual (rulebook) for employees, contractors and sub-contractors workers.	1. 45 days after signing the loan agreement.
2.5	Occupational Health and Safety	1. Provide details of the mechanisms the Co-Borrowers and their contractors need to implement to guarantee a secure working environment and to reduce physical, biological and chemical risks associated with the operational phase of the project and evidence of its implementation. This information will include: i) the identification of possible risks to the health and safety of the workers according to the job that they do; ii) details of the preventative and protective measures implemented, worker trainings, and daily safety briefings mentioned during the site visit and iii) a copy of the reports developed in the event of an incident or occupational accident.	1. Copy of the occupational health and safety, for the operational phase.	1. 45 days after signing the loan agreement.
			2. Copies of the evidences of its implementation.	2. Progress report in each biannual Environmental and Social Compliance Report.

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2.6	Accidents and fatalities	1. Report any major accidents, including fatalities.	1. Notification of major accidents.	1. Within 24 hours of the occurrence of the accident.
		2. Prepare a root cause analysis and ensure the closure of corrective actions.	2. Copy of the Cause Analysis and closure.	2. Periodic in each Environmental and Social Compliance Report.
2.7	Supply Chain	1. Provide the policies and procedures for the management and monitoring of the performance, in its primary supply chain	1. Copy of these policies and procedures.	1. 45 days after signing the loan agreement.