

**State of Espírito Santo - Department of
Buildings and Roads of Espírito Santo (DER-ES)**

**Brazil Proactive, Safe and Resilient Road Asset
Management Program - State of Espirito Santo -
Phase 2 (P500469)**

Negotiated

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

January 23, 2025

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The State of Espírito Santo (the Borrower) will implement the Brazil Proactive, Safe and Resilient Road Asset Management Program - State of Espirito Santo - Phase 2 (P500469) (the Project), with the involvement of the Department of Buildings and Roads of Espírito Santo (DER-ES), as set out in the Loan Agreement. The International Bank for Reconstruction and Development (the Bank) has agreed to provide financing for the Project, as set out in the referred agreement.
2. The State of Espírito Santo shall ensure that the Project is carried out in accordance with the Environmental and Social Standards (ESSs) and this Environmental and Social Commitment Plan (ESCP), in a manner acceptable to the World Bank. The ESCP is a part of the Loan Agreement. Unless otherwise defined in this ESCP, capitalized terms used in this ESCP 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 of the actions and measures, institutional, staffing, training, monitoring and reporting arrangements, 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 ESS, and in form and substance, and in a manner acceptable to the Bank. Once adopted, said E&S instruments may be revised from time to time with prior written agreement by the Bank.
4. As agreed by the World Bank and the Borrower, this ESCP will be revised from time to time 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 Department of Buildings and Roads of Espírito Santo (DER-ES) and the Bank agree to update the ESCP to reflect these changes through an exchange of letters signed between the Bank and the Chief Executive Officer of the Department of Buildings and Roads of Espírito Santo (DER-ES). The Borrower shall promptly disclose the updated ESCP.

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| MONITORING AND REPORTING | | | |
| A | <p>REGULAR REPORTING</p> <p>Prepare and submit to the Bank regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&S instruments required under the ESCP, stakeholder engagement activities, and functioning of the grievance mechanism(s).</p> | <p>Submit six-monthly reports to the Bank throughout Project implementation, commencing after the Effective Date. Submit each report to the Bank no later than 45 days after the end of each reporting period.</p> | <p>DER-ES/ Project Coordination Unit (PCU)</p> |
| B | <p>INCIDENTS AND ACCIDENTS</p> <p>Promptly 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, the 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 sufficient detail regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor, concessionary and/or supervising firm, as appropriate.</p> <p>Subsequently, at the Bank's request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence.</p> | <p>Notify the Bank no later than 48 hours after learning of the incident or accident or no later than 24 hours after learning of cases of SEA/SH. Provide subsequent report to the Bank within a timeframe acceptable to the Bank</p> | <p>DER-ES/ Project Coordination Unit (PCU)</p> |
| C | <p>CONTRACTORS' MONTHLY REPORTS</p> <p>Require contractors, concessionaries, and supervising firms to provide monthly monitoring reports on ESHS performance in accordance with the metrics specified in the respective bidding documents and contracts, and submit such reports to the Bank.</p> | <p>Submit the summary of the contractor's and concessionaires' regular reports to the Bank upon request or as annex to the reports to be submitted under action A above.</p> | <p>DER-ES/ Project Coordination Unit (PCU)</p> |

| MATERIAL MEASURES AND ACTIONS | TIMEFRAME | RESPONSIBLE ENTITY |
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| ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS | | |
| <p>1.1 ORGANIZATIONAL STRUCTURE</p> <p>Establish and maintain a Project Coordination Unit (PCU) under DER, which is tasked with ESHS management, with qualified staff and resources to support the management of ESHS risks and impacts of the Project, including the permanent support from at least one senior environmental specialist, a senior social development specialist, and one communications & stakeholder engagement specialist.</p> | <p>Establish PCU as an Additional Effective Condition as per the Loan Agreement and subsequently maintain the PCU throughout Project implementation.</p> | <p><i>DER-ES/ Project Coordination Unit (PCU)</i></p> |
| <p>1.2 ENVIRONMENTAL AND SOCIAL INSTRUMENTS</p> <p>1. Adopt and implement an Environmental and Social Management Framework (ESMF) for the Project, consistent with the relevant ESSs for all contracts including works (CREMA-DBM, CREMA-PPP, bypasses and active mobility improvements) .</p> <p>2. Prepare, disclose, adopt, and implement specific Biodiversity Preliminary Assessment (BPA) for each individual road bypass under the Project, consistent with the ESMF. The BPA results will subsidize the specific Environmental and Social Impact Assessment (ESIA).</p> <p>3. Prepare, disclose, adopt, and implement specific Environmental and Social Impact Assessment (ESIA) for each individual road bypass under the Project, consistent with the ESMF and BPA guidelines.</p> <p>4. Ensure that all construction contractors and concessionaries complete, adopt and implement the Environmental and Social Management Plan (C-ESMP), following the employer's ESHS specifications from the bidding documents, as well as other guidelines and procedures included in the ESMF before construction.</p> <p>The proposed activities described in the exclusion list set out in the ESMF shall be ineligible to receive financing under the Project.</p> | <p>1. Adopt and disclose the ESMF no later than 30 days after the Effective Date, and thereafter implement the ESMF throughout Project implementation.</p> <p>2. Complete and adopt the BPA prior to the start of ESIsAs and thereafter incorporate and implement the results and guidelines into ESIsAs and C-ESMP throughout Project implementation.</p> <p>3. Complete and adopt the ESIsAs prior to the start of construction for the construction works of the bypasses, and thereafter implement each ESIsAs throughout the implementation of the works.</p> | <p><i>DER-ES/ Project Coordination Unit (PCU)</i></p> |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| | | 4. Require contractors and concessionaries to finalize and adopt (making adjustments, when necessary) the C-ESMP before starting, and, as a condition for starting, the implementation of the respective work interventions. Once adopted, supervise, and ensure the execution of the C-ESMP throughout the implementation of the Project. | |
| 1.3 | MANAGEMENT OF CONTRACTORS Incorporate the relevant aspects of the ESCP, including, inter alia, the relevant E&S instruments, and code of conduct, into the ESHS specifications of the procurement documents and contracts with contractors, concessionaries and supervising firms. Thereafter ensure that the contractors , concessionaries and supervising firms comply and cause subcontractors to comply with the ESHS specifications of their respective contracts. | As part of the preparation of procurement documents and respective contracts. Supervise contractors and concessionaries throughout Project implementation. | <i>DER-ES/ Project Coordination Unit (PCU)</i> |
| 1.4 | TECHNICAL ASSISTANCE Ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, and any other technical assistance activities under the Project are carried out in accordance with terms of reference acceptable to the Bank that are consistent with the ESSs. Thereafter ensure that the outputs of such activities comply with the terms of reference. | Throughout Project implementation. | <i>DER-ES/ Project Coordination Unit (PCU)</i> |
| 1.6 | ACTIVITIES SUBJECT TO RETROACTIVE FINANCING a) Agree with the Bank on the methodology for evaluating and reporting on the environmental and social risk management procedures adopted during the execution of the activities proposed for retroactive financing that ensures the consistency of these procedures with the principles and requirements of the ESSs that are relevant due to the environmental and social risks and impacts of proposed activities. | a) Methodology to be incorporated into ESMF. | <i>DER-ES/ Project Coordination Unit (PCU)</i> |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| | b) Conduct an Environmental and Social Report of activities subject to retroactive financing using the methodology described in a) above, reflect such due diligence in a report, which shall also include any corrective action plans or measures identified in accordance with the due diligence, according to the ESSs. Subsequently, implement any action plans or corrective measures, as appropriate. | b) Submit the Environmental and Social Report whenever there is a request for reimbursement of expenses for activities subject to retroactive financing. Any corrective action plans or measures identified in such report must be implemented in a manner and timeframe acceptable to the Bank | |
| ESS 2: LABOR AND WORKING CONDITIONS | | | |
| 2.1 | <p>LABOR MANAGEMENT</p> <p>Ensure that the labor management and working conditions of Project workers are consistent with this ESCP and with the Borrower's ES Framework, which includes inter alia, the country's relevant policy, legal and institutional framework, including its national, state, or local implementing institutions and applicable laws, regulations, procedures, and implementation capacity.</p> <p>Promptly notify the Bank of any changes to the Borrower ES Framework that may materially adversely affect the Borrower's ability to manage the ESHS risks and impacts of the Project in line with the ESSs and the immediate measures taken or that are planned to be taken to address said changes and the ensuing potential risks and impacts of the Project. If, in the opinion of the Bank, such changes adversely affect relevant ESHS risk management aspects of the Project, the Borrower shall agree to implement measures and actions to address them in a manner acceptable to the Bank and shall update the ESCP to reflect such agreed actions.</p> | Throughout Project implementation. | DER-ES/ Project Coordination Unit (PCU) |
| 2.2 | <p>GRIEVANCE MECHANISM FOR PROJECT WORKERS</p> <p>Establish and operate a grievance mechanism for Project workers, as described in the SEP and ESMF and consistent with ESS2.</p> | Establish grievance mechanism prior engaging Project workers and thereafter maintain and operate it throughout Project implementation. | DER-ES/ Project Coordination Unit (PCU) |
| 2.3 | TERMS AND CONDITIONS OF EMPLOYMENT | Throughout Project implementation. | DER-ES/ Project Coordination Unit (PCU) and Contractors. |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| | Ensure that all Project workers receive, through written agreements or other documents provided together with orientation sessions, information, and documentation that is clear and understandable regarding their terms and conditions of employment under the Borrower's ES Framework, including, inter alia, rights relating to working hours, wages, overtime, compensation and benefits, prior written notice of termination of employment, and details of severance payments, as appropriate. | | |
| 2.4 | TRAINING AND ORIENTATION 1. Ensure that all Project workers receive training and sensitization to prevent and address SH and SEA. Within the framework of these trainings and actions, workers shall be informed, inter alia, about the applicable regulations, protocols, and procedures that exist within and outside of their workplace, including ways of accessing the Project's grievance mechanisms (GRM). 2. Ensure that all Project workers receive orientations about their terms of employment and working conditions. | Throughout Project implementation. | <i>DER-ES/ Project Coordination Unit (PCU) and Contractors.</i> |
| 2.5 | OCCUPATIONAL HEALTH AND SAFETY All construction contractors shall complete and adopt an OHS Risk Management Program (Programa de Gerenciamento de Riscos – PGR), an Emergency Response Plan (Plano de Atendimento de Emergência – PAE) and the Workers' Health Monitoring Program (Programa de Controle Médico Ocupacional - PCMSO) in accordance with the requirements from Regulatory Standards from ministry of Labor (NR1, NR7) and following the standard requirements from NR18 (Construction) and all other applicable regulatory Standards (NR 1 to NR 35). | Complete the PGR, PAE and PCMSO prior to commence of the construction works and implement through the life of the contract. | <i>DER-ES/ Project Coordination Unit (PCU) and contractors</i> |
| 2.6 | EQUALITY OF OPPORTUNITIES IN ACCESS AND CONDITIONS OF WORK Public entities and State enterprises and contractors that employ Project workers shall promote positive actions geared toward building capacity to improve accessibility to employment for women, afrodescendants, LGBTI+ persons, and persons with disabilities, in line with, inter alia, National Law No. 9.029/1195 which prohibits discriminatory practices, for admission purposes or for the continuation of the legal employment relationship; National Law No. 12.288/2010 on Racial Equality Statute, Law No. 14.611/23 on Equal Pay; National Law No. 13.146/2015 on Statute of Persons with Disabilities | Throughout Project implementation. | <i>DER-ES/ Project Coordination Unit (PCU) and Contractors.</i> |
| 2.7 | ESHS MONITORING AND REPORTING Ensure that the reports described in the A, B and C above include information on labor management and GRM for Project workers, which shall also include any corrective action plans or measures identified according to the ESSs. Subsequently, implement any action plans or corrective measures, as appropriate. | Throughout Project implementation. | <i>DER-ES/ Project Coordination Unit (PCU) and Contractors.</i> |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT | | | |
| 3.1 | WASTE MANAGEMENT PLAN Adopt and implement a Waste Management Plan (WMP), to manage hazardous and non-hazardous wastes, consistent with ESS3 and in accordance with respective and applicable instruments (ESMF, BPA and ESIA's) | As part of the preparation of the C-ESMPs. | DER-ES/ Project Coordination Unit (PCU) and Contractors. |
| 3.2 | RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT Incorporate resource efficiency and pollution prevention and management measures in The ESMF and C-ESMP to be prepared under action 1.2 above. | Same timeframe as for the adoption and implementation of the ESMF and C-ESMP. | DER-ES/ Project Coordination Unit (PCU) and Contractors. |
| ESS 4: COMMUNITY HEALTH AND SAFETY | | | |
| 4.1 | ROAD SAFETY All road construction and rehabilitation designs must be completed by an accredited civil engineer (or a team of), following DNIT (Departamento Nacional de Infraestrutura e Transportes) and ABNT (Associação Brasileira de Normas Técnicas) standard requirements. The technical designs shall be submitted for DER review and approval, including the respective Technical Responsibility Annotation (Anotação de Responsabilidade Técnica – ART) from the Engineering Professional Association CREA-ES (Conselho Regional de Engenharia e Arquitetura do Espírito Santo). | Complete prior to commence of the construction works and implement through the project implementation. | DER-ES/ Project Coordination Unit (PCU) and Design Engineer/ Contractors. |
| 4.2 | COMMUNITY HEALTH AND SAFETY Assess and manage specific risks and impacts to the community arising from Project activities, including, inter alia, behavior of Project workers, risks of labor influx, response to emergency situations, and include mitigation measures in the C-ESMPs to be prepared in accordance with the ESMF and Borrower's ES Framework. | Same timeframe as for the adoption and implementation of the C-ESMP. | DER-ES/ Project Coordination Unit (PCU) and Contractors. |
| 4.3 | SEA AND SH RISKS Adopt and implement SEA/SH prevention and response measures required under ESMF, national laws, and bidding documents that shall be included and detailed in the C-ESMP to assess and manage the risks of SEA and SH. | Same timeframe as for the adoption and implementation of the C-ESMP. | DER-ES/ Project Coordination Unit (PCU) and Contractors. |
| 4.4 | SECURITY MANAGEMENT Adopt and implement measures to manage the security risks of the Project, including the risks of engaging security personnel to safeguard project workers, sites, assets, and activities as set out in the ESMF, guided by the principles of proportionality and GIIP, and by applicable law, in relation to hiring, rules of conduct, training, equipping, and monitoring of such personnel. | Prior to engaging security personnel and thereafter implemented throughout Project implementation | DER-ES/ Project Coordination Unit (PCU) and Contractors. |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT | | | |
| 5.1 | RESETTLEMENT POLICY FRAMEWORK Adopt and implement a Resettlement Policy Framework (RPF) for the Project, consistent with ESS5. | Adopt the RPF no later than 30 days after the Effective Date and subsequently implement the RPF throughout Project implementation. | DER-ES/ Project Coordination Unit (PCU). |
| 5.2 | RESETTLEMENT PLANS Adopt and implement a resettlement action plan (RAP) for each activity within the Project that requires a RAP, as established in the RPF, prior to start of any civil works and ensuring that total compensation at full replacement cost prior to any displacement has been provided, displaced persons have been resettled, and moving allowances have been provided before taking possession of the land and related assets, in a manner consistent with the principles, guidelines and procedures set in ESS5. | Before taking possession of the land and related assets and prior to the beginning of civil works that require land acquisition and throughout project implementation. | DER-ES/ Project Coordination Unit (PCU). |
| ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES | | | |
| 6.1 | BIODIVERSITY RISKS AND IMPACTS 1. Complete the site-specific Biodiversity Preliminary Assessment (BPA) assessment for each individual road bypass following the guidelines from ESMF, as described in action 1.2 above and as part of the preparation of the respective ESIs. 2. Based on the results of the BPAs, complete, adopt and implement a Biodiversity Management Plan (BMP), as part of the C-ESMPs, in accordance and consistent with ESS6. | 1. Same timeline as action 1.2. 2. Implement the BMP throughout Project implementation. | DER-ES/ Project Coordination Unit (PCU). |
| ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES [See examples of possible actions below that can be used if determined that ESS7 is relevant, as set out in paragraph 54 of the E&S Policy and paragraphs 8-10 of ESS7]. | | | |
| Not relevant because there are no indigenous peoples in the Project area, according to the definition in ESS7. | | | |
| ESS 8: CULTURAL HERITAGE | | | |
| 8.1 | CHANCE FINDS Describe and implement the chance finds procedures, as part of the C-ESMP for construction and refurbishment civil works that involve excavation and earthworks, in accordance with the principles and requirements established in the ESMF and national law, in a manner consistent with ESS 8. | Same timeframe as for the adoption and implementation of the C-ESMP. | DER-ES/ Project Coordination Unit (PCU) and contractors. |
| ESS 9: FINANCIAL INTERMEDIARIES [This standard is only relevant for Projects involving Financial Intermediaries (FIs).] | | | |
| This standard is currently not relevant. | | | |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE | | | |
| 10.1 | <p>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION</p> <p>Adopt and implement a Stakeholder Engagement Plan (SEP) for the Project, consistent with ESS10, which shall include measures to, inter alia, provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation.</p> | Adopt the SEP no later than 30 days after the Effective Date and thereafter implement the SEP throughout Project implementation. | DER-ES/ Project Coordination Unit (PCU). |
| 10.2 | <p>PROJECT GRIEVANCE MECHANISM</p> <p>1. Establish, publicize, maintain, and operate an accessible grievance mechanism, to receive and facilitate resolution of concerns and grievances in relation to the Project, promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all Project-affected parties, at no cost and without retribution, including concerns and grievances filed anonymously, in a manner consistent with ESS10.</p> <p>The grievance mechanism shall be equipped to receive, register, and facilitate the resolution of SEA/SH complaints, including through the referral of survivors to relevant gender-based violence service providers, all in a safe, confidential, and survivor-centered manner.</p> <p>2. Track and report on the percentage of contacts (i.e., inquiries, complaints, grievances) responded to through the grievance mechanism within the stipulated timeline as describe in the SEP.</p> | <p>1. Establish the grievance mechanism no later than 30 days after the Effective Date, and thereafter maintain and operate the mechanism throughout Project implementation;</p> <p>2. On a biannual basis throughout Project implementation together with the regular reports under action A above.</p> | DER-ES/ Project Coordination Unit (PCU). |
| 10.3 | <p>TRANSPARENCY, ACCESS TO INFORMATION AND DATA PROTECTION</p> <p>Carry out stakeholder engagement in relation to the Project, in line with the Borrower's ES Framework, which for stakeholder engagement includes, inter alia, National Law No. 12.527/2011 on Access to Public Information, Law No. 13.709/2018 on Personal Data Protection, Law No. 13.460/2017 on participation, protection rights of users of public services and regulates ombudsman services.</p> | Throughout Project implementation. | DER-ES/ Project Coordination Unit (PCU). |
| CAPACITY SUPPORT | | | |
| CS1 | Provide the environmental and social teams, and other members of the PCU (as relevant) with training on: | Periodically, throughout the implementation of the Project, holding | DER-ES/ Project Coordination Unit (PCU). |

| MATERIAL MEASURES AND ACTIONS | | TIMEFRAME | RESPONSIBLE ENTITY |
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| | <ul style="list-style-type: none"> • procedures continuing stakeholders engagement; • specific aspects of environmental and social assessment and management, particularly biodiversity risks and impacts; • application of the Project's environmental and social risk management instruments; • procedures for recording, processing, responding and resolving complaints; • emergency preparedness and response; • community health and safety. <p>Aspects to be consider in the elaboration and implementation of Resettlement Action Plans</p> | the first session up to 90 days after the the Effective Date. | |
| CS2 | Provide project workers with guidance on health and safety at work, measures to counter sexual harassment, exploitation, and abuse for Project workers and the appropriate behavior standards in relationships with the population in intervention areas | Periodically, throughout the implementation of the Project, holding the first session up to 90 days after the Effective Date or at least before starting civil works. | <i>DER-ES/ Project Coordination Unit (PCU) and Contractors.</i> |