

State of Sergipe
Departamento Estadual de Infraestrutura
Rodoviária de Sergipe (DER-SE)

**State of Sergipe - Phase 5 of Brazil Proactive,
Safe and Resilient Road Asset Management
Program (P512688)**

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

Appraisal

November 10, 2025

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The Government of Sergipe (the Borrower) implement the State of Sergipe - Phase 5 of Brazil Proactive, Safe and Resilient Road Asset Management Program (the Project), with the involvement of the Departamento Estadual de Infraestrutura Rodoviária de Sergipe (DER-SE), as set out in the Loan Agreement (the Agreement). The International Bank for Reconstruction and Development (the Bank), has agreed to provide financing for the Project, as set out in Agreement.
2. The Borrower 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 Bank/Association. The ESCP is a part of the Agreement. Unless otherwise defined in this ESCP, capitalized terms used in this ESCP have the meanings ascribed to them in the 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, their respective timeframes; institutional, staffing, training, monitoring and reporting arrangements; and grievance management. The ESCP also sets out the environmental and social (E&S) documents that shall be prepared or updated, consulted, disclosed and implemented under the Project, consistent with the ESSs, in form and substance acceptable to the Bank. Said E&S documents may be revised from time to time with prior written agreement by the Bank. As provided for under the referred Agreement, the Borrower shall ensure that there are sufficient funds available to cover the costs of implementing the ESCP.
4. As agreed by the Bank and the Borrower, this ESCP will be revised from time to time, if necessary, to reflect adaptive management of Project changes or unforeseen circumstances or in response to Project performance. In such circumstances, the Bank and the Borrower agree to update the ESCP to reflect these changes through an exchange of letters signed between the Bank and the Borrower's Representative specified in the Agreement or the president of DER-SE. The Borrower shall promptly disclose the updated ESCP.
5. The subsection on "Indicators for Implementation Readiness" below identifies the actions and measures to be monitored to assess Project readiness to begin implementation in accordance with this ESCP. Nevertheless, all actions and measures in this ESCP shall be implemented as set out in the "Timeframe" column below irrespective of whether they are listed in the referred subsection.

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
IMPLEMENTATION ARRANGEMENTS AND CAPACITY SUPPORT			
A	ORGANIZATIONAL STRUCTURE <ul style="list-style-type: none"> a. Establish and maintain a Project Management Unit (PMU) with qualified staff and resources to support management of environmental, social, health and safety risks and impacts of the Project including: an environmental specialist, an occupational health and safety specialist and a social specialist. b. Require contractors and PPP concessionaries to recruit and keep competent staff for carrying out the measures needed for the proper management of E&S risks, adequate stakeholder engagement and grievance redressing. c. Require the supervision consultancy firms to be hired to keep competent staff for overseeing the performance of the contractors' E&S risk management processes and procedures. 	<ul style="list-style-type: none"> a. Establish a PMU as a Condition of Effectiveness. Hire or appoint the environment and social specialist no later than the Effective Date and thereafter maintain the PMU and these positions throughout Project implementation. b and c. Same timeframe as action 1.3.a. 	DER-SE
B	CAPACITY BUILDING <ul style="list-style-type: none"> a. Prepare an E&S Risk Management training plan for periodic capacity-building of Project staff, addressing E&S requirements as set out in the Project's E&S documents to be prepared according to the ESCP requirements. b. Provide periodical training sessions for PMU and DER staff directly engaged in Project activities on the material measures for the proper management of environmental, social, and Occupational and Health Safety (OHS) risks that are relevant Project and on how to report and handle accidents and incidents that have, or are likely to have, a significant adverse effect on the environment, the affected communities, the public or workers. 	<ul style="list-style-type: none"> a. Prepare and submit to the Bank an E&S Risk Management training plan within 120 days after the Effective Date. b. Conduct periodical training sessions as defined in the E&S Risk Management Training Plan. 	DER-SE
MONITORING AND REPORTING			
C	REGULAR REPORTING <p>Prepare and submit to the Bank regular monitoring reports on the environmental, social, health and safety (E&S) performance of the Project, as part of the Project's progress report. The reports shall include, inter alia, (i) status of preparation and implementation of E&S documents required under the ESCP; (ii) summary of stakeholder engagement activities carried out as per the Stakeholder Engagement Plan; (iii) complaints submitted to the grievance mechanism(s), the grievance log, and progress made in resolving the; (iv) E&S performance of contractors and subcontractors as reported through contractors' and supervision firms' reports, and (v) number and status of resolution of incidents and accidents reported under action E below.</p>	Submit biannual reports to the Bank throughout Project implementation, commencing after the Effective Date. Submit each report to the Bank no later than 60 days after the end of each reporting period.	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
D	<p>CONTRACTORS' MONTHLY REPORTS</p> <p>Require contractors and supervising firms to provide monthly monitoring reports on E&S performance in accordance with the metrics specified in the respective bidding documents and contracts and submit such reports to the Bank upon request.</p>	Submit the monthly reports to the Bank upon request	DER-SE
E	<p>INCIDENTS AND ACCIDENTS</p> <p>a. Notify the Bank of any incident or accident relating 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 those resulting in death or significant injury to workers or the public; acts of violence, discrimination or protest; unforeseen impacts to cultural heritage or biodiversity resources; pollution of the environment; forced or child labor; displacement without due process (forced eviction); allegations of sexual exploitation or abuse (SEA), or sexual harassment (SH); or disease outbreaks. Provide – upon request of the Bank – sufficient details 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 and/or supervising firm, as appropriate.</p> <p>b. Arrange for an appropriate review of the incident or accident to establish its immediate, underlying and root causes and prepare, agree with the Bank, and implement a Corrective Action Plan that sets out the measures and actions to be taken to address the incident or accident and prevent its recurrence.</p>	<p>a. Notify the Bank no later than 48 hours after learning of the incident or accident. Provide available details upon request.</p> <p>b. Provide review report and Corrective Action Plan to the Bank no later than 10 days following the submission of the initial notice, unless a different timeframe is agreed to in writing by the Bank.</p>	DER-SE
ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS			
1.1	<p>ENVIRONMENTAL AND SOCIAL ASSESSMENTS AND/OR PLANS</p> <p>a. Finalize, disclose, adopt, and implement an Environmental and Social Management Framework (ESMF) for the Project, consistent with the relevant ESSs.</p> <p>b. Require the contractors and PPP concessionaires to prepare and implement the site-specific Environmental and Social Impact Assessments (ESIA), as required by the country/state environmental legislation, and the respective Environmental and Social Management Plan (C-ESMP), as set out in the ESMF.</p>	<p>a. Finalize, disclose, and adopt the ESMF no later than 30 days after Effective Date and thereafter implement the ESMF throughout Project implementation.</p> <p>b. As part of the respective bidding documents for the respective Project activity. Once finalized, implement the respective ESMP throughout Project implementation.</p>	DER-SE
1.2	ENVIRONMENTAL LICENSING	a. Before start of	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
	<ul style="list-style-type: none"> a. Provide to the Bank the valid environmental license (and other applicable permits), issued by the competent environmental agency, State Environmental Administration (<i>ADEMA - Administração Estadual do Meio Ambiente</i>), for the implementation of the Project interventions, before the commencement of the works. b. Comply with the environmental programs, requirements, measures, deadlines and targets stipulated in those licenses. Report to the Bank on the implementation of the environmental plans and programs, including eventual corrective and preventive measures and other requests, pursuant to the environmental agency requirements and routinary audits. 	<ul style="list-style-type: none"> intervention/work b. As part of semestral reports to the Bank under action C above. 	
1.3	MANAGEMENT OF CONTRACTORS AND CONCESSIONAIRES <ul style="list-style-type: none"> a. Incorporate the relevant requirements of this ESCP, including, among others, the environmental and social measures, the standards and procedures for labor management, and the behavioral standards against SEA/SH into the ESHS specifications of the procurement documents/contracts with contractors, concessionaires and supervising firms. Thereafter ensure that the contractors, concessionaires and supervising firms comply and cause subcontractors to comply with the ESHS specifications of their respective contracts. b. Require contractors, concessionaires and supervising firms to provide monthly monitoring reports on ESHS performance in accordance with the metrics specified in the respective bidding documents and contracts. c. Submit a summary of such reports to the Bank as part of the Project's progress report. 	<ul style="list-style-type: none"> a and b. As part of the bidding documents and contracts with contractors. c. Submit a summary of the monthly reports to the Bank as Annex to the reports under action C above. 	DER-SE
1.4	TECHNICAL ASSISTANCE <p>Carry out all technical assistance activities (consultancies, studies, training, and capacity building) under the Project in accordance with terms of reference acceptable to the Bank, which must be consistent with the principles and objectives of the ESSs. The Terms of Reference will also incorporate a participatory, inclusive and gender-oriented approach. Thereafter prepare and finalize the outputs of such activities in compliance with the terms of reference.</p>	Throughout Project implementation.	DER-SE
1.5	USE OF BORROWER'S E&S FRAMEWORK <ul style="list-style-type: none"> a. Ensure that the E&S risks and impacts of the Project are managed in accordance with this ESCP and the Borrower's E&S Framework, which includes, inter alia, the country's relevant policy, legal and institutional framework, including its national, departmental, or local implementing institutions and applicable laws, regulations, procedures, and implementation capacity. b. Promptly notify the Bank of any changes to the Borrower's E&S Framework that may materially adversely affect the Borrower's ability to manage the E&S risks and impacts of the Project in 	<ul style="list-style-type: none"> a. Throughout Project implementation. b. Notify the Bank immediately after taking notice of the change to the Borrower's E&S Framework. Subsequent actions, if requested by the 	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
	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. The ESCP shall be updated to reflect such agreed actions.	Bank, shall reflected in an updated ESCP as indicated in paragraph 4 of the Initial Section of this ESCP.	
1.6	ACTIVITIES SUBJECT TO RETROACTIVE FINANCING Carry out an E&S Audit of activities that may be subject to retroactive financing under the project in a manner consistent with the applicable ESSs, and reflect such audit in areport, which shall also include any corrective action plans or measures that are identified pursuant to the audit, in accordance with the ESSs. Subsequently, implement any corrective action plans or measures, as applicable.	As a condition to submit these activities as eligible expenditures.	DER-SE
ESS 2: LABOR AND WORKING CONDITIONS			
2.1	LABOR MANAGEMENT PROCEDURES a. Comply and cause contractors, PPP concessionaires, and subcontractors to comply with the requirements of the Brazilian labor law with regards to fair and equal treatment of the workforce, non-discrimination, freedom of association, working conditions, zero tolerance with child and forced labor, SEA/SH, Occupational Health and Safety (OHS). b. Incorporate in the bidding documents and cause contractors, PPP concessionaries, and subcontractors to (i) implement regular awareness raising and orientation training to project workers on standards of behavior and sanctions aimed at avoiding and preventing SEA/SH incidents amongst project workers and among project workers and local inhabitants and (ii) establish responsibilities and procedures for responding to SEA/SH substantiated allegations. c. Adopt all measures needed to require that primary suppliers take measures to address promptly and appropriately iny cases of child labor or forced labor, in line with ESS 2 requirements. d. Disclose and cause contractors, PPP concessionaires, and subcontractors to disclose information on the Grievance Mechanism of the Project (action 10.2, below) through which project workers can raise concerns about working conditions and terms (including SEA/SH and Gender-Based Violence issues).	Throughout Project implementation.	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT			
3.1	ENVIRONMENTAL MANAGEMENT PROGRAMS Implement, and ensure that contractors, PPP concessionaires, and subcontractors implement, the relevant environmental management programs, as part of the C-ESMPs, including as applicable measures for control of erosive processes and watercourse contamination, hazardous chemicals management, borrow and disposal area management, waste management, gravel extraction, asphalt plant implementation management, and environmental liabilities control. Such plans and programs shall be consistent with national and state legislation, as well as the Project's ESMF.	Same timeframe as for action 1.1 above.	DER-SE
3.2	RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT a. Comply and cause contractors, PPP concessionaires, and subcontractors to comply with the environmental licensing, issued by ADEMA, and subsequent rehabilitation of support areas such as construction sites, industrial facilities, material extraction sites (quarries and borrow pits), and areas for depositing excess cut material. b. Report to the Bank on the environmental licensing processes and subsequent rehabilitation of support areas.	a. Same timeframe as for action 1.3 a above b. As part of semestral reports to the Bank in action C above, throughout Project implementation.	DER-SE
ESS 4: COMMUNITY HEALTH AND SAFETY			
4.1	TEMPORARY DISTURBANCES ON COMMUNITY DAILY LIFE Assess and manage specific and temporary disturbances to nearby community arising from Project direct and ancillary activities – including, <i>inter alia</i> , erosion, noise and dust emissions, work zones hazards, emergency preparedness and response, obstacles to traffic flux – and manage them in accordance with measures proposed in the Project's ESMF (such as, planning appropriate times to carry out the work, avoid carrying out works and exploring quarries close to housing areas at night, controlling the moisture content of the soil, etc.).	Throughout Project implementation.	DER-SE
4.2	TRAFFIC AND ROAD SAFETY Incorporate in all bidding documents and cause all contractors, PPP Concessionaires, and subcontractors to adopt and implement measures to manage traffic and road safety risks, including proper signage of working sites and distribution of communication materials.	Same timeframe as for action 1.3 above.	DER-SE
4.3	COMMUNITY EXPOSURE TO COMMUNICABLE DISEASES Provide and cause contractors and PPP concessionaires to provide to project (direct and contracted) workers continuous guidance and orientation regarding measures on how to avoid and prevent the transmission of communicable diseases.	Throughout Project implementation.	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
4.4	<p>PREVENTION OF SEA/SH INCIDENTS</p> <p>a. Implement, and cause contractors, PPP concessionaires, and subcontractors to implement awareness raising and information campaigns against SEA/SH and other forms of Gender-based Violence amongst project (direct and contracted) workers to prevent incidents among project workers and between project workers and the population of local communities.</p> <p>b. Disclose and cause contractors, PPP concessionaires, and subcontractors to disclose information on the network of reference services to prevent and respond to SEA/SH and Gender-Based Violence incidents that are available.</p>	Throughout Project implementation.	DER-SE
4.5	<p>SECURITY PERSONNEL MANAGEMENT</p> <p>Ensure that implementing agencies, contractors, PPP concessionaires, and subcontractors only retain private security personnel to safeguard personnel and properties who:</p> <ul style="list-style-type: none"> • Have been properly trained by private security professional training schools authorized to operate according to Law 14,967/2024 (the Statute of Private Security and Security of Financial Institutions). • Have been trained on appropriate conduct and use of force only for preventive and defensive purposes and in proportion to the threat. • Have not a history of allegations or incidents of abuse of power and retaliation, sexual harassment and exploitation, gender-based violence, bribery and corruption or any other unlawful acts. 	Throughout Project implementation.	DER-SE
ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT			
5.1	<p>RESETTLEMENT PLANS</p> <p>Prepare and implement Resettlement Plans (RPs) for each activity under the Project for such RP, as set out in the ESMF and consistent with ESS5.</p>	Prepare and implement each respective RP prior to carrying out the relevant works, including ensuring that before taking possession of the land and related assets, full compensation has been provided and as applicable displaced people have been resettled and moving allowances have been provided.	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES			
6.1	BIODIVERSITY RISKS AND IMPACTS <ul style="list-style-type: none"> a. Incorporate and cause contractors, subcontractors and PPP concessionaries to incorporate biodiversity conservation and sustainable use measures consistent with ESS 6, including those related to the sustainable use of natural resources activities, roadside vegetation removal, degraded area recovery program, monitoring and mitigating impacts on wildlife fauna, as applicable. b. Inform the management boards of Protected Areas (<i>Unidades de Conservação</i> – UC) about the works and activities to be carried out within their limits or in their buffer zones. c. Any necessary intervention in native vegetation shall be preceded by the respective authorization to vegetation suppression, issued by the competent environmental agency, ADEMA. Report to the Bank on the vegetation suppression authorizations issued for the project interventions, including the requested floristic surveys and the form of compensation envisaged. 	<ul style="list-style-type: none"> a. Same timeframe as for action 1.1 and 1.3 above. b. Throughout Project implementation. c. Upon reception of the authorization issued by ADEMA. 	DER-SE
ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES			
7.1	INDIGENOUS PEOPLES ENGAGEMENT <p>As outlined in the Project's Stakeholder Engagement Plan (SEP), disseminate information and maintain interaction with Indigenous Peoples located within 10 km of the roads that will be serviced by proactive and preventive roads maintenance activities.</p>	Throughout Project implementation.	DER-SE
7.2	PROTOCOLS OF CONDUCT <ul style="list-style-type: none"> a. Develop Protocols of Conduct with the Indigenous Peoples, in culturally adequate manner, and incorporate the Protocols of Conduct for each Indigenous Community in the final version of the ESMF. b. Require the contractors responsible for rural roads works in Indigenous Lands and any contractors and PPP concessionaires that will carry out works within a 10km buffer zone to abide by the developed Protocols of Conduct. 	<ul style="list-style-type: none"> a. Same timeframe as action 1.1 a above b. As part of the respective bidding documents for the respective Project activity. 	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
ESS 8: CULTURAL HERITAGE			
8.1	CULTURAL HERITAGE RISKS AND IMPACTS a. Prepare and implement a Cultural Heritage Management Plan (CHMP) in accordance with the guidelines of the ESMF prepared for the Project, and consistent with ESS8. b. Incorporate and cause contractors, subcontractors and concessionaries to incorporate cultural management measures established in the CHMP, and consistent with ESS 8.	a. Prepare the CHMP prior to beginning of any activities under subcomponent 3.1, and thereafter implement the CHMP throughout Project implementation. b. Same timeframe as action 1.3 above.	DER-SE
8.2	CHANCEFINDS PROCEDURE Adopt and cause contractors and subcontractors to adopt and implement chance finds procedures for all project activities that may involve excavation and earth movement as defined by the country legislation to protect and report chance finds that might occur as a result of the implementation of Project activities.	Same timeframe as action 1.3 above.	DER-SE
ESS 9: FINANCIAL INTERMEDIARIES			
ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE			
10.1	STAKEHOLDER ENGAGEMENT PLAN a. Incorporate the feedback from the consultation process (as appropriate), finalize, adopt, and implement the Project's 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. b. Disseminate the scope of the Project and the planned schedule of actions on the DER-SE website. c. Ensure that contractors and PPP concessionaires develop and implement a Social Communication Subprogram envisaged under the Contractor's and Concessionaire's ESMP in accordance with the guidelines defined by the Project's ESMF and SEP and as requested in the bidding documents. d. Report biannually on the DER-SE website about the progress in the implementation of the actions supported by the Project and the measures adopted to minimize and mitigate their environmental and social risks and impacts.	a. Finalize, disclose, and adopt the SEP no later than 30 days after the Effective Date. b. Bi-annually. c. Prior to the start of the works. d. Bi-annually.	DER-SE

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
10.2	PROJECT GRIEVANCE MECHANISM <ol style="list-style-type: none"> Keep the operation of DER-SE Ombudsman Office as the main channel to receive and facilitate resolution of concerns and grievances in relation to the Project as stated and described in the Project's Stakeholder Engagement Plan. Monitor the operation of the relationship channels with communities located nearby the worksites established by contractors and PPP concessionaires to register and report to DER-SE and the PMU on all requests and complaints received and how they have been handled through this channel. Publicize contact information on the Grievance Mechanism through all communication materials about the Project. Report to the Bank on the handling of concerns and grievances raised in relation to the Project. 	<ol style="list-style-type: none"> Same timeframe as for action 10.1. As part of the bidding documents and throughout Project implementation. Throughout Project implementation. Same timeframe as action C. 	DER-SE
INDICATORS FOR IMPLEMENTATION READINESS <p>The following actions are indicators for implementation readiness:</p> <ul style="list-style-type: none"> Action A Action 1.1 Action 4.3 Action 10.1 Action 10.2 			