

# STATE OF TOCANTINS

State Secretariat of Planning - State of Tocantins

Progestão Tocantins: Public Sector Management Efficiency  
P179088

## ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN (ESCP)

Draft – for DM

October 7, 2022

## ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The State of Tocantins (the Borrower) will implement the Progestão Tocantins: Public Sector Management Efficiency Project (the Project), with the involvement of the Secretariat of Planning (SEPLAN), Secretariat of Finance (SEFAZ), the State Secretariat for Administration (SECAD), the State Secretariat for Education (SEDUC), the State Secretariat for Health (SES), the State Secretariat for Work State Secretariat of Social Assistance (SETAS) and the Tocantins Pension Institute (IGEPREV), 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 Borrower, through SEPLAN, 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. 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, through SEPLAN, 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 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 and the Bank agree to update the ESCP to reflect these changes through an exchange of letters signed between the World Bank and the Secretary in charge of SEPLAN. The SEPLAN shall promptly disclose the updated ESCP.

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE AUTHORITY/ENTITY
<b>MONITORING AND REPORTING</b>			
A	<p><b>REGULAR REPORTS</b></p> <p>Prepare and submit to the Bank regular monitoring reports on the environmental, social, health and safety performance of the Project, including stakeholder engagement activities, and functioning of the grievance mechanism.</p>	<p>Submit semi-annual reports to the Bank throughout Project implementation, commencing after the Effective Date.</p> <p>Submit each report to the Bank no later than 30 days after the end of each reporting period.</p>	SEPLAN
B	<p><b>INCIDENTS AND ACCIDENTS</b></p> <p>Promptly notify the Bank of any incident or accident related to the Project that has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, including, <i>inter alia</i>, cases of sexual exploitation and abuse (SEA), sexual harassment (SH) and accidents that result in death, serious or multiple injuries. 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 and/or supervising company, as appropriate.</p> <p>Subsequently, at 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.</p> <p>Provide subsequent report to the Bank within a timeframe acceptable to the Bank.</p>	SEPLAN
<b>ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS</b>			
1.1	<p><b>ORGANIZATIONAL STRUCTURE</b></p> <p>Establish and maintain a Project Management Unit with qualified staff and appropriate resources for the management of E&amp;S risks and impacts of the Project</p>	<p>The organizational structure shall be established within 30 days after the Effective Date, and maintained throughout Project implementation, and key PMU roles shall include attention to E&amp;S commitments in their respective terms of reference.</p>	SEPLAN
1.2	<p><b>TECHNICAL ASSISTANCE</b></p> <p>Ensure that the consultancies, studies, capacity building, training and any other technical assistance activities under the Project are carried out in accordance with terms of reference reviewed and found acceptable to the Bank, that incorporate the relevant requirements of the Environmental and Social Standards.</p>	<p>The terms of reference shall be reviewed and approved by the Bank prior to their finalization, and technical assistance activities shall be thereafter carried out in accordance with those terms of reference throughout Project implementation.</p>	SEPLAN

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE AUTHORITY/ENTITY
	Thereafter ensure that the outputs of such activities comply with the terms of reference.		
1.3	<p><b>DRAFT EXPEDITIOUS ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (EESIA)</b></p> <p>Consult, finalize, and disclose the EESIA, and thereafter implement any relevant measures identified therein.</p>	Final EESIA disclosed no later than 30 days after the Effective Date, and any relevant measures implemented as set out in the EESIA, as applicable.	SEPLAN
<b>ESS 2: LABOR AND WORKING CONDITIONS</b>			
2.1	<p><b>WORK MANAGEMENT PROCEDURES</b></p> <p>Incorporate the relevant aspects of ESS in the contracts for consultants directly hired or engaged through third parties to perform works related to core functions of the Project, including, <i>inter alia</i>:</p> <ul style="list-style-type: none"> <li>• The provision to all Project workers of clear and understandable information and documentation on the terms and conditions of employment;</li> <li>• The respect of the principles of equal opportunity, fair treatment, no discrimination in all decisions related with recruitment, hiring, compensation and access to training of Project workers;</li> <li>• The respect of the worker’s rights to join workers’ organizations;</li> <li>• The principle of no tolerance with regards to harassment, SEA/SH, intimidation and/or exploitation in the workplace;</li> <li>• The principle of minimum age of employment set according to national legislation and the requirements of ESS 2;</li> <li>• The principle to prevent all forms of forced labor and child labor.</li> </ul>	Throughout Project implementation.	SEPLAN
2.2	<p><b>GRIEVANCE MECHANISM FOR PROJECT WORKERS</b></p> <p>Establish and operate a grievance mechanism where Project workers (direct and contracted works) can raise workplace concerns (including SEA/SH concerns and issues) without fear of retaliation and in accordance to the requirements of ESS 2.</p>	Grievance mechanism operational prior to engaging Project workers and maintained throughout Project implementation.	SEPLAN

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE AUTHORITY/ENTITY
2.3	<p><b>OCCUPATIONAL HEALTH AND SAFETY (OHS) MEASURES</b></p> <p>Incorporate and follow international standards of occupational health and safety (OHS) in the workplace of all public servants and consultants directly hired or engaged through third parties to perform works related to of the Project.</p>	Throughout Project implementation.	SEPLAN
<b>ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</b>			
3.	<p><b>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</b></p> <p>Implement good practices of recycle and recovery of E-Waste according to the requirements of the national legislation and ESS 3, as appropriate.</p>	Throughout Project implementation.	SEPLAN SEFAZ, SECAs, SEDUC, SES, SETAS and IGEPREV
<b>ESS 4: COMMUNITY HEALTH AND SAFETY S</b>			
This standard is not relevant for the Project.			
<b>ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT</b>			
This standard is not relevant for the Project.			
<b>ESS 6: BIODIVERSITY AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES</b>			
This standard is not relevant for the Project.			
<b>ESS 7: INDIGENOUS POPULATIONS AND TRADITIONAL COMMUNITIES</b>			
7.	<p><b>INDIGENOUS PEOPLES PLANNING</b></p> <p>Carry out the Project in accordance with the applicable requirements of ESS7. Whenever relevant, the Terms of Reference to carry out Technical assistance activities must:</p>	Throughout Project implementation.	SEPLAN SEFAZ, SECAs, SEDUC, SES, SETAS and IGEPREV

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE AUTHORITY/ENTITY
	<ul style="list-style-type: none"> <li>Assess opportunities and barriers to design and implement the Technical Assistance activity in a manner that will ensure that Indigenous peoples' concerns or preferences are addressed and that Indigenous Peoples would have fair and equitable access to project benefits;</li> <li>Ensure that Indigenous Peoples will be consulted in a proportionate and culturally adequate manner in matters of their interest;</li> <li>All appropriate measures necessary to achieve results consistent with the requirements set by ESS 7 are taken and followed during the implementation phase.</li> </ul>		
<b>ESS 8: CULTURAL HERITAGE</b>			
8.1	<p><b>CULTURAL HERITAGE RISKS AND IMPACTS</b></p> <p>Ensure that the technical assistance activities to be carried out under action 1.2 are consistent with the ESS8, including by reflecting relevant elements of this standard in the relevant terms or reference, and any outputs prepared pursuant to those terms of reference.</p>	Throughout Project implementation.	SEPLAN
<b>ESS9: FINANCIAL INTERMEDIARIES</b>			
This standard is not relevant for the Project.			
<b>ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE</b>			
10.1	<p><b>STAKEHOLDER ENGAGEMENT PROCEDURES</b></p> <p>Carry out stakeholder engagement activities, consistent with ESS10, which shall include measures to, inter alia:</p> <p>(a) Identifying the relevant stakeholders (affected parties and other interested parties) for each one of the Technical Assistance activities supported by the Project (and their potential environmental and social risks and impacts as well as downstream effects);</p>	Throughout Project implementation.	SEPLAN SEFAZ, SECAs, SEDUC, SES, SETAS and IGEPREV

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE AUTHORITY/ENTITY
	<p>(b) Provide stakeholders with timely, relevant, understandable and accessible information about the Technical Assistance activities they might be interested in or be affected by; and,</p> <p>(c) Consult – as necessary and in a proportionate way to the risks, impacts and downstream effects of the Technical Assistance activities – all potentially affected parties, in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation.</p>		
10.2	<p><b>PROJECT GRIEVANCE MECHANISM</b></p> <p>Rely on the State General Ombudsman Office as an accessible grievance mechanism, to receive and facilitate resolution of concerns and grievances in relation to the Project in a manner consistent with ESS10.</p> <p>Ensure that the GM can report on Project-related grievances in the Projects’ semi-annual Progress Reports.</p>	<p>Within 30 days after the Effective Date and maintained throughout Project implementation.</p>	SEPLAN
<b>CAPACITY SUPPORT</b>			
CS1	<p>Training in the Bank’s Environmental and Social Standards for civil servants and consultants of the PMU working on the Project. This training shall be carried out in collaboration with the Bank and in agreement with the Project Management Unit (PMU).</p>	<p>No later than 30 days after the Effective Date</p>	SEPLAN