



# Environmental and Social Safeguards Manual



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## Control table

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## ABBREVIATIONS AND ACRONYMS

NPA:	Natural Protected Area
WB:	World Bank
IFC:	International Finance Corporation
UNFCCC:	United Nations Framework Convention on Climate Change
ISMD:	Innovation and Strategic Management Division
MED:	Monitoring and Evaluation Division
AF:	Adaptation Fund
GEF:	Global Environmental Facility
FONANPE:	National Fund for Natural Areas Protected by the State
GCF:	Green Climate Fund
GHG:	Greenhouse Gases
ESMF:	Environmental and Social Management Framework
MINAM:	Ministry of Environment of Peru
RDO:	Research and Development Office
OP:	Operational Policy
ESP:	Environmental and Social Policy
ESMP:	Environmental and Social Management Plan
NEIAS:	National Environmental Impact Assessment System

## 1. INTRODUCTION

Profonanpe has been the National Implementing Entity (NIE) of the Adaptation Fund (AF) in Peru since March 2014 and the Direct Access Entity (DAE) of the Green Climate Fund (GCF) since March 2015 and, therefore, the accredited institution at national level to execute financial resources from both climate funds to manage interventions that contribute to climate change mitigation and adaptation and that, in turn, promote biodiversity conservation and sustainable development in the country.

In turn, these accreditations and the work with various donors require Profonanpe to develop its environmental and social policies in line with certain standards. Within this framework, Profonanpe developed its Environmental and Social Policies (ESP) in 2017, defined as a set of environmental and social operational guidelines that allow to:

- Prevent and/or mitigate (minimize and/or correct) potential adverse environmental and social impacts and risks (including gender aspects) that may arise during the implementation of interventions in which Profonanpe participates.
- Improve and/or enhance positive impacts, benefits and environmental and social opportunities for the local populations involved.

Profonanpe has eleven ESPs that must be evaluated during the design and implementation of the interventions in which it participates, and in coordination with donor requirements, as applicable. Compliance is the responsibility of the intervention management units, and implementation is supervised by Profonanpe's safeguards team<sup>1</sup>. These policies are described in the document "Profonanpe's Environmental and Social Policies"<sup>2</sup>, and are as follows:

1. ESP 1: Evaluation and management of environmental and social impacts and risks
2. ESP 2: Compliance with the regulations
3. ESP 3: Biodiversity conservation
4. ESP 4: Climate change
5. ESP 5: Pollution prevention
6. ESP 6: Stakeholder involvement and participation
7. ESP 7: Gender perspective
8. ESP 8: Indigenous or Native Peoples
9. ESP 9: Cultural heritage
10. ESP 10: Involuntary resettlement and/or restriction to the use of renewable natural resources
11. ESP 11: Occupational safety

This Environmental and Social Safeguards Manual has been developed with the aim of making the ESP operative in the interventions that are part of Profonanpe's portfolio, which corresponds to an updated version of the document "Operational Manual: Guidelines for the implementation of Profonanpe's environmental, social and gender institutional policies" prepared in 2018.

It should be noted that the content of this manual is the result of Profonanpe's work experience with the different international cooperation agencies that have financed the implementation of biodiversity conservation and sustainable development programs and projects in the country. Additionally, it has a guiding and referential nature that should be complemented with the respective donor instruments, as appropriate.

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<sup>1</sup> Formed by the Environmental and Social Policy Specialist of the RDO and by the topic specialists (social/environmental) of the MED.

<sup>2</sup>The ESP document can be accessed through the following link: <https://profonanpe.org.pe/politicas-institucionales/>



## 2. OBJECTIVE AND SCOPE

The objective of this manual is to promote the operability and implementation of the ESPs in the interventions in which Profonanpe participates through procedures, tools and instruments in the formulation, implementation, monitoring and evaluation phases<sup>3</sup>.

This manual is a tool to be used both by the personnel working in the institution and by the intervention teams in which Profonanpe participates. In particular, for environmental and social professionals and/or specialists, as well as for safeguards specialists. The eight sections of the document are: (i) introduction, (ii) objective and scope, (iii) guidelines for the application of the ESPs, (iv) roles and responsibilities, (v) process of analysis and implementation of the ESPs, (vi) monitoring and evaluation, (vii) conceptual annexes, and (viii) Appendices.

### 2.1 Integration into Profonanpe's Environmental and Social Management System

This manual is part of Profonanpe's Environmental and Social Management System, which is the general operational framework for achieving better environmental and social results, while addressing the risks and impacts of the activities in which Profonanpe participates. It consists of a set of policies, standards, procedures and processes for managing the environmental and social risks and impacts of the activities implemented by Profonanpe in a comprehensive, consistent, coherent and transparent manner<sup>4</sup>.

### 2.2 Guidelines for information disclosure

Profonanpe's information disclosure guidelines are based on the GCF's Information Disclosure Policy (GCF Decision B.12/35). Its objective is to receive comments related to the possible impacts on ecosystems and populations that the activities of the interventions in which Profonanpe participates may cause.

In the case of projects to be submitted for GCF financing, Profonanpe and another institution with which it is working, if applicable, will publish on its website the Environmental and Social Assessment<sup>5</sup> and the ESMP or ESMF of the intervention categorized as B (equivalent to category II), at least 40 calendar days prior to the submission of the project document to the GCF Board of Directors, in accordance with the provisions of the GCF Information Disclosure Policy. The purpose of this publication is to receive any comments regarding the possible impact on ecosystems and populations due to the intervention of the program and project activities.

Profonanpe and/or the executing agency review and analyze only those comments with supported and verifiable information<sup>6</sup>. Comments are received and responded to within 30 calendar days of publication of the documents, through a formal document via the same manner in which they were received. Within the remaining 10 days, observations are resolved, and final versions of the documents to be submitted to the GCF are published.

In the case of projects financed by institutions other than the GCF, information related to environmental and social subjects such as the environmental and social assessment and the ESMP or ESMF will be published on Profonanpe's website immediately after formulation, in order to receive comments from stakeholders. Comments are received and responded to no later than 30 calendar days after the documents are published, through a formal document via the same manner in which they were received. Subsequently, the final versions are published.

<sup>3</sup> During the review of contracts or agreements whose proposals have already been prepared, a review of the environmental and social safeguards instruments included will be carried out and efforts will be made to complement them with Profonanpe's ESPs.

<sup>4</sup> The System document can be accessed through the following link: <https://profonanpe.org.pe/politicas-institucionales/>

<sup>5</sup> It may be called environmental and social risk analysis and assessment, screening, among others.

<sup>6</sup> Refers to information that has means of verification.

### 3. GUIDELINES FOR THE IMPLEMENTATION OF ESP

As of the approval of this manual, all interventions in which Profonanpe participates must include in their agreement or similar document the access links<sup>7</sup> to the ESP document and this manual. In the event that the donors of the interventions have specific safeguard policies and instruments, and there is a mandate to align with them, their application will take precedence and the inclusion of this manual in the agreement will be complementary. This also ensures compliance with Profonanpe's ESPs. In cases where there are no instruments for the implementation of environmental and social policies, this manual will fully guide the implementation of environmental and social safeguards.

The procedures and formats suggested in this manual may be adapted to the scope, budget, complexity, scope, among other environmental and social aspects, as well as to the requirements established by the donor. It should be noted that monitoring is carried out only for those ESPs that apply to each intervention, which are activated as a result of the analysis and evaluation of the environmental and social risks and impacts of the intervention. For this purpose, the formats of the ESPs to be activated will be taken into account.

It should be noted that the ESP established by Profonanpe are aligned with the policies, principles or guidelines defined by the main sources of international cooperation. To facilitate understanding, Annex 8.1 presents a table of equivalencies between Profonanpe's ESPs and those of the main sources of international cooperation.

On the other hand, Profonanpe is committed not to carry out interventions in accordance with the following guiding principles:

- None of its interventions may violate environmental, social, labor or human rights regulations related to the actors involved and/or their territories.
- It does not manage interventions that involve significant conversion of natural ecosystems, generate the loss of biological diversity or promote the introduction of invasive exotic species.
- It does not manage interventions that generate discrimination and/or inequalities between men and women, and/or between different populations.
- It does not manage interventions that generate the involuntary resettlement of populations from one place to another.

### 4. ROLES AND RESPONSIBILITIES

#### 4.1 General Framework

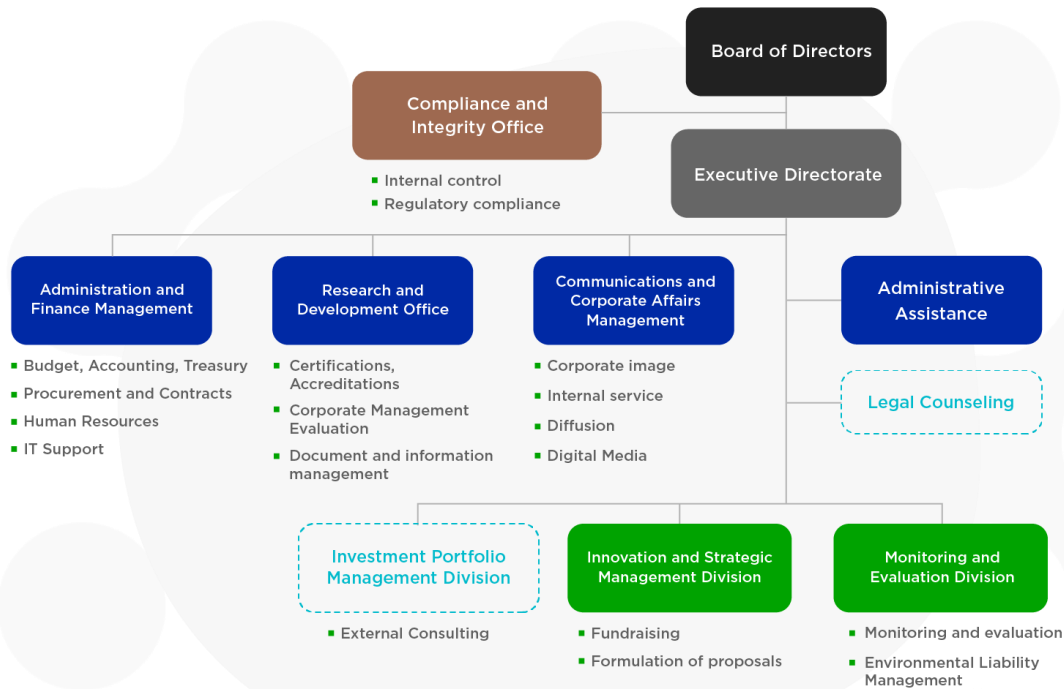
Profonanpe's organizational structure<sup>8</sup> is comprised of a management body, a control body, a line management body, and a support or advisory body. The composition of each is detailed below and illustrated in Figure 1:

1. Management Bodies: made up of the Board of Directors and the Executive Directorate.
2. Control Bodies: represented by the Compliance and Integrity Office.
3. Line Management Bodies: made up of the Investment Portfolio Management, Innovation and Strategic Management, and Monitoring and Evaluation Divisions.
4. Support or Advisory Bodies: made up of the Administration and Finance Management, the Communications and Corporate Affairs Management, and the Research and Development Office.

<sup>7</sup> It can be accessed through the following link: <https://profonanpe.org.pe/politicas-institucionales/>

<sup>8</sup> For more details, see the document Profonanpe's manual of mission processes and job profiles.

**Figure 1. Organizational Structure**



Within this framework, the organizational units directly related to the management of environmental and social policies and the definition, monitoring and evaluation of environmental and social safeguards are the Executive Directorate, Innovation and Strategic Management Division, Monitoring and Evaluation Division, Research and Development Office, Financial Administration Management and Communications and Corporate Affairs Management. The roles and functions of each are detailed below.

- **Executive Directorate (ED)**

- a. Approve documents related to environmental and social policies and safeguards.
- b. Ensure the timely completion of external evaluations related to environmental and social policies and safeguards of the interventions in which Profonanpe participates.
- c. Intervene in the process of dealing with complaints and denunciations related to interventions in which Profonanpe participates, when appropriate.
- d. Participate in the process of disseminating information related to environmental and social policies and safeguards.

- **Research and Development Office (RDO)**

- a. Responsible for the operation of the Environmental and Social Management System. This manual is part of that system.
- b. Ensure compliance with environmental and social policies and safeguards at the organizational level, as well as the correct application of the methodology, tools and compliance with established guidelines.
- c. Strengthen staff capacity at the institutional level in relation to environmental and social policies and safeguards, in coordination with the MED.



- d. Maintain updated repositories of interventions, particularly in terms of environmental and social safeguards. It also channels information from donors and accrediting entities related to environmental and social policies and safeguards.
  - e. Manage knowledge, training and advising the different monitoring and evaluation teams and intervention teams on the design and application of environmental and social safeguards based on Profonanpe's environmental and social policy guidelines and in line with current accreditations.
  - f. Review the environmental and social policies, guidelines established for their compliance and reference formats at least once a year; however, it may update the related documentation when it deems it appropriate, informing the other members of the institution, including the intervention teams, for their consideration and application.
  - g. Prepare the Terms of Reference to hire the services of an independent external evaluator to evaluate Profonanpe's performance level every five (05) years in complying with the ESPs and their safeguards, as well as to comply with the requirements of the entities to renew or maintain current accreditations, in coordination with the topics specialists of the MED.
- **Monitoring and Evaluation Division (MED)**
    - a. Conduct the analysis for the identification of the applicability of environmental and social policies and the assignment of the initial risk category (screening) of the intervention, in coordination with the ISMD and RDO team, when required.
    - b. Prepare the terms of reference for the development of the Environmental and Social Management Plan (ESMP) or Environmental and Social Management Framework (ESMF), as appropriate and applicable, in coordination with the ISMD and RDO team, and with the intervention team if already formed.
    - c. Supervise compliance with the implementation of environmental and social safeguards in the interventions in which Profonanpe participates, in coordination with the RDO.
    - d. Strengthen the environmental and social safeguards capacities of the personnel involved in the interventions in which Profonanpe participates, in coordination with the RDO.
    - e. Supervise and provide technical assistance for the development and implementation of environmental and social safeguards instruments to the intervention teams, which include the prevention and/or mitigation measures established in the ESMP or ESMF, when applicable.
    - f. Follow up on the incorporation of prevention and/or mitigation measures (included in the ESMP or ESMF) in the Annual Operating Plan (AOP) and Annual Procurement and Contracting Plan (APCP), as appropriate.
  - **Innovation and Strategic Management Division (ISMD)**
    - a. Comply with Profonanpe's disclosure policy defined in section 2.2, in coordination with the Communications and Corporate Affairs Management.
    - b. Ensure the incorporation of environmental and social safeguards budget in the proposals for interventions where Profonanpe is in charge of formulation, which could include a safeguards professional or equivalent professional in the Intervention Management Units.
  - **Administration and Finance Management (AFM)**
    - a. Ensure compliance with environmental and social policies and safeguards in its human resources management processes and in its processes for meeting requirements and procurement of goods and services (logistics management) related to:
      - i. Management of solid, liquid and/or gaseous waste in goods and services acquired for Profonanpe's central office.
      - ii. Promote and facilitate equal opportunities for men and women, as well as for populations in different areas of the country, in the processes of calls for bids and contracting of services.
      - iii. Identify actions to reduce possible differences and gaps between men and women in Profonanpe, such as salary.

- **Communications and Corporate Affairs Management**

- Provide support to the intervention team for the alignment of the interventions' communications plans with their Stakeholder Engagement Plans (EAP) or other related instruments, as appropriate, in coordination with the MED and RDO.
- Provide technical assistance and support to intervention teams in the development of EAP activities and information dissemination strategies, as appropriate.
- Disseminate the activities and progress made by the institution's interventions, reaching out to all stakeholders.
- Disseminate progress on environmental and social safeguards at the institutional level in coordination with the RDO.

#### 4.2 Specific Roles and Functions

It should be noted that Profonanpe's safeguards team is made up of the Environmental and Social Policy Specialist from the RDO and the topic specialists (social and environmental) from the MED. Their specific functions and those of the intervention teams are detailed below.

##### Environmental and Social Policy Specialist from the RDO

- Maintain updated and supervise the operation of the Environmental and Social Management System at the level of policies, safeguards, formats, compliance with the necessary requirements as an accredited entity or as requested in the agreements signed with the respective funding sources and to disseminate knowledge about the use of the same both internally and in the interventions in which Profonanpe participates.
- Assist and support the ISMD in the use of the tools to be followed to comply with the institution's environmental and social policies and safeguards during the design of interventions, in conjunction with MED's topic specialists.
- Advise, train and provide tools to the AFM to fulfill its responsibilities in relation to the environmental and social policies and safeguards described in the general framework, with the support of the MED's topic specialists.
- Coordinate internal and external evaluations corresponding to the policies and strategies of the Environmental and Social Management System, with the support of the MED's topic specialists.
- Other functions within the framework of the responsibilities assigned to the RDO in this Manual.

##### MED's Topic Specialists (Environmental/Social)

- Monitor the implementation of the ESPs and the procedures of this manual in the interventions, in addition to following up on the implementation of the donors' environmental safeguards policies, in coordination with the safeguard specialists or whoever has been designated in each of the interventions, as appropriate. In particular, they must follow up on compliance with the prevention and/or mitigation measures established in the operational plans and ESMPs that are assumed by the intervention teams, as appropriate.
- For interventions in formulation or at the proposal level, the topic specialists must conduct an analysis for the identification of the applicability of environmental and social policies and the assignment of the initial risk category (screening) of the intervention, in coordination with the ISMD and RDO team. The steps and instruments to be used are detailed in this Manual. They must also prepare the terms of reference for the development of the Environmental and Social Management Plan (ESMP) or Environmental and Social Management Framework (ESMF), as appropriate and applicable, in coordination with the ISMD and RDO

team, and with the intervention team if already formed, ensuring compliance with Profonanpe's Environmental and Social Policies and those of the corresponding donors.

### Intervention Team

1. Intervention teams are responsible for the implementation of safeguards in their area of action, so they must include in their operational or work plans, as appropriate, activities to anticipate and/or mitigate the negative impacts identified as detailed in their ESMP or ESMF during the formulation and implementation of the intervention, and ensure that they are budgeted. In order to do so, this manual provides tools and instruments for the implementation of safeguards in their interventions, which are complemented, if necessary, with the requirements of the corresponding cooperating sources.
2. They are also responsible for monitoring environmental and social safeguards. The team specialist or an external specialist may carry out these activities, but the responsibility will fall on the coordinator or person in charge of the intervention (assigned by Profonanpe or in charge of the Implementing Partner or Contractor) of the intervention.

### Environmental Remediation Program

1. In the case of the Rehabilitation and/or Remediation Plans related to the Contingency Fund for Environmental Remediation (Environmental Remediation Program), the Environmental Liabilities Management, in coordination with Profonanpe's safeguards team, performs the tasks described above through its Technical Team Coordinator and its Topic Specialists (preferably Safeguards Specialist or a similar specialist), who in turn supervise the Companies or Consultants that will be responsible for the implementation of the safeguards in their interventions. Therefore, the related expense items must be assumed by the consultants or contractors as part of the costs considered for carrying out a Rehabilitation or Remediation Plan.

The roles and responsibilities indicated above are general given that they depend on the type of intervention and the role Profonanpe plays in it. Thus, the execution of these roles is also subject to the scope of funding, i.e. the budget of the intervention.

## 5. PROCESS OF ANALYSIS AND IMPLEMENTATION OF ENVIRONMENTAL AND SOCIAL POLICIES

The implementation of environmental and social policies requires a process of analysis to identify the applicability of each of them in the interventions. From the identification process, as well as during implementation and monitoring, a series of tools are required. On the one hand, the Environmental and Social Management Plan (ESMP) or an Environmental and Social Management Framework (ESMF) aims to ensure that the risks and impacts identified are adequately managed. On the other hand, there are complementary support tools. Each of these is detailed in the following sections.

### 5.1 Environmental and Social Management Plan (ESMP)

The ESMP is the instrument used in the case of individual projects, and an ESMP could be developed depending on the size of the intervention. Given the nature of the interventions promoted by Profonanpe, this section details the process for the development of a ESMP.

ESMPs are defined as plans that detail concrete actions (prevention and/or mitigation measures) to manage the environmental and social risks and impacts identified in an intervention, with details such as the implementation schedule, responsibilities and necessary resources. With the objective of unifying processes, facilitating implementation and managing environmental and social risks and impacts in Profonanpe's portfolio of interventions, this instrument will include three stages.

The first consists of the analysis of the application of each of Profonanpe’s eleven ESPs in each intervention. The second involves the identification and evaluation of environmental and social risks and impacts, known as screening, as well as risk categorization of the intervention. The third is the preparation of an environmental and social management matrix. The following sections detail the importance of each and the elements comprising them.

### 5.1.1 Step 1: Evaluation of the implementation of Profonanpe’s ESP

The first step in preparing the ESMP is to evaluate the application of Profonanpe’s ESPs. This consists of identifying those ESPs that apply to the intervention, according to the characteristics of the ecosystem and the stakeholders involved in the area of intervention. The applicable ESPs are those whose compliance may be affected positively or negatively during the execution of the intervention.

To identify those ESPs that do or do not apply, only the ESP whose content is related to the context of the intervention are selected. ESP 1. “Impact and risk assessment and management” is cross-cutting and mandatory for all interventions.

To perform the assessment, the questions in Form 1 must be answered with the options Yes or No. If the answer is Yes, the corresponding ESP is activated and must be considered for the risk analysis.

**Form 1. Identification of the ESPs that apply to the intervention**

ESP	Questions	Yes / No
ESP 2. Compliance with the regulations	Should the intervention give special consideration to compliance with national and international standards? <sup>9</sup>	
ESP 3 Biodiversity conservation	Does the scope of the intervention include terrestrial or aquatic natural ecosystems, fragile ecosystems, natural protected areas, or other conservation modalities, and/or does it involve sustainable use of natural resources (e.g. agriculture, agroforestry, forest plantations, fisheries, aquaculture, commercial harvesting of non-timber forest products for bio-business development)? <sup>10</sup>	
ESP 4. Climate change	Does the intervention take place in areas vulnerable to climate change, such as fragile ecosystems, and/or includes vulnerable populations dependent on these ecosystems, and/or may generate Greenhouse Gases (GHG) during its activities? <sup>11</sup>	
ESP 5. Pollution prevention	Does the intervention include activities that generate and/or store solid, liquid and/or gaseous waste that may affect the health of populations and terrestrial and/or aquatic ecosystems (e.g. construction waste, solid waste from workshops or production activities, use of fuel in river transport)?	
ESP 6. Stakeholder involvement and participation	Does the intervention consider activities in which the stakeholders must participate from the design stage, during implementation, monitoring and follow-up?	
ESP 7. Gender approach	Does the intervention involve the participation of both men and women?	
ESP 8. Indigenous or Native Peoples	Does the scope of intervention include any of the areas in which the Official Database of Indigenous or Original Peoples has information on the presence of these peoples?	

<sup>9</sup> See Appendix 7.1 for more conceptual detail on regulatory levels.

<sup>10</sup> See Appendix 7.2 for more conceptual detail on biodiversity conservation.

<sup>11</sup> See Appendix 7.3 for more conceptual detail on climate change.

ESP	Questions	Yes / No
ESP 9. Cultural Heritage	Does the intervention affect the Cultural Heritage officially declared by the Nation and/or any evidence of tangible or intangible assets in its scope of intervention that are recognized by the local population? <sup>12</sup>	
ESP 10. Involuntary resettlement and/or restriction of the use of renewable natural resources	Does the intervention involve activities that promote involuntary resettlement of populations and/or restriction of natural resource use? <sup>13</sup>	
ESP 11. Occupational safety	Does the intervention involve activities that require occupational safety measures (e.g. bio-business processing plants, harvesting and collection of natural resources)? <sup>14</sup>	

As a result of completing this form, those ESPs that apply to the intervention are identified and should be included in the analysis in Step 2.

### 5.1.2 Step 2: Identification and evaluation of impacts and risks (Screening) and categorization

Risk assessment or screening is a tool to identify potential environmental and social risks and impacts of an intervention, its processes and/or activities, as well as to determine the importance/significance of the identified risks. This is done by considering two criteria:

- (1) the likelihood of occurrence of the risks and impacts (expected, highly probable, moderately probable, unlikely, and improbable); and
- (2) the severity of such risks and impacts should they occur (critical, severe, moderate, minor, insignificant).

The category of significance will be derived from the combination of the two criteria. Based on this analysis, the environmental and social risk category of an intervention, or of its processes and/or activities, is assigned. The procedure is described below:

#### a. Identification of risks and impacts

Potential risks that may be generated in the implementation of the activities or processes of the intervention should be identified. Only the questions that correspond to the ESPs activated in Step 1 should be answered.

It is recommended that Form 2 be used to identify the risks. If the question is answered affirmatively, the potential risks should be described, considering the scenario in which no prevention and/or mitigation measures are taken.

<sup>12</sup> See Appendix 7.4 for more conceptual detail on cultural heritage.

<sup>13</sup> See Appendix 7.5 for more conceptual detail in this regard.

<sup>14</sup> See Appendix 7.6 for more conceptual detail on occupational safety.



**Form 2. Guiding questions for risk identification**

ESP	Guiding questions	Yes / No	Risk description
ESP 2. Compliance with the regulations	Is there any possibility of non-compliance with national and international regulations, or any environmental, construction, operating and/or health licenses or permits? (If yes, indicate in the description all permits required to comply with regulations).		
ESP 3. Biodiversity conservation	Could any of the activities of the intervention lead to a conversion of natural habitats or loss of vegetation cover in the area where it will operate?		
	Could any of the activities of the intervention adversely affect the biodiversity of the area where it will operate?		
	Could any of the activities of the intervention lead to unsustainable use of natural resources, including water and energy?		
ESP 4. Climate change	Could any of the activities of the intervention generate Greenhouse Gas (GHG) emissions?		
	Could any of the activities of the intervention affect the carbon pool or sink capacity of ecosystems?		
ESP 5. Pollution prevention	Could any of the activities of the intervention negatively impact the quantity and quality of water resources or water bodies in the area?		
	Could any of the activities of the intervention negatively impact air quality?		
	Could any of the activities of the intervention negatively impact soil quality?		
	Could any of the activities of the intervention increase the generation of domestic or household waste that by their characteristics constitute a health hazard to the exposed population or may alter the quality of water or soil?		
	Could any of the activities of the intervention generate hazardous solid waste?		
ESP 6. Stakeholder involvement and participation	Could any of the activities of the intervention negatively impact stakeholders?		
	Is it possible that stakeholder consultation and informed participation processes have not been contemplated in the design, implementation and/or monitoring of the intervention?		
ESP 7 Gender perspective	Could any of the activities of the intervention lead to or widen existing gender gaps among stakeholders?		
ESP 8. Indigenous or Native Peoples	Could any of the activities of the intervention result in risks and impacts to indigenous or native peoples? For example, adverse effects on resources and land tenure, cultural heritage and use of ancestral and traditional knowledge.		
	Has the intervention not contemplated a process of consultation and/or free, prior and informed consent of the indigenous communities in the design	YES	

ESP	Guiding questions	Yes / No	Risk description
	or during, implementation and/or monitoring of the intervention?		
ESP 9. Cultural heritage	Could any of the activities of the intervention cause negative impacts on archaeological remains or areas of historical, cultural, artistic or religious value?		
ESP 10. Restriction of access to and/or use of natural resources and involuntary resettlement	Could any of the activities of the intervention result in the physical displacement of populations?		
	Could any of the activities of the intervention result in restriction of access and/or use of natural resources for the population using the area?		
ESP 11. Occupational safety	Could any of the activities of the intervention involve child labor, which may interfere with children's education or be harmful to their physical or emotional health or impede their social development?		
	Could any of the activities of the intervention generate adverse effects on the health and safety conditions of its workers and/or stakeholders?		
	Could any of the activities of the intervention generate noise, vibrations or other noise disturbances that affect the health and well-being of the stakeholders involved?		

### b. Risk and impact assessment

After identifying the risks, each risk must be analyzed and assigned values in relation to two factors: probability of occurrence and severity. Table 1 defines the risk categories and the corresponding numerical values.

**Table 1 - Classification according to probability of occurrence of the risk**

Probability of occurrence	Classification	Description
Expected	5	The risk is almost certain to occur very frequently (< once a week).
Highly probable	4	The risk is very likely to occur frequently (> once a week and < once a month).
Moderately probable	3	Risk likely to occur during intervention implementation (> once a month and < once a year).
Unlikely	2	The risk is unlikely to occur. If it does occur, it will be infrequent (> once a year and < once every 05 years).
Improbable	1	It is very rare or impossible for the risk to occur (> once every 05 years).

Source: Elaborated by author. Adapted from MINAM (2010): [https://www.minam.gob.pe/calidadambiental/wp-content/uploads/sites/22/2013/10/guia\\_riesgos\\_ambientales.pdf](https://www.minam.gob.pe/calidadambiental/wp-content/uploads/sites/22/2013/10/guia_riesgos_ambientales.pdf)

Likewise, severity also has a classification and numerical values which are detailed in the following table.

**Table 2 - Classification according to risk severity**

Severity	Classification	Description
Critical	5	Significant adverse impacts on populations and/or the environment. Adverse impacts over a large spatial extent (e.g., large geographic area, often outside the scope of the intervention, affecting a significant number of people, with transboundary impacts, cumulative impacts) and often long-term and irreversible; affecting areas of high biodiversity sensitivity and conservation value; adverse impacts on indigenous peoples' rights, lands, resources and territories; displacement or resettlement; and may result in significant social conflict.
Severe	4	Adverse impacts on people and/or the environment of medium to large magnitude. Less spatial and temporal extent than critical level risks and impacts. Risks and impacts are considered predictable, mostly temporary and reversible.
Moderate	3	Risks and impacts considered moderate to low in magnitude. Impacts are limited in scale (site-specific) and duration (temporal), can be avoided and/or mitigated with relatively simple and generally accepted measures.
Minor	2	Minimal risks and impacts in terms of magnitude (e.g., small affected area, small-scale activities, very low number of people affected) and duration (short, e.g., only during the construction phase), and risks and impacts can be easily avoided and/or mitigated.
Insignificant	1	Insignificant or no risks and impacts on communities, individuals and/or the environment.

Up to this point in the process, each risk should have a number associated with its probability of occurrence and severity. Additionally, at this stage the risks should be classified into environmental and social, and the associated impact should be defined. The impact is defined as the result of the risk becoming effective or materializing, i.e. the consequence. The following table is suggested for this stage.

**Table 3 - Risk and impact assessment**

Type of risk	Name of the risk	Activity/ Process	Impact	Probability of occurrence	Severity
Environmental					
Social					

### c. Categorization of risks

Next, a risk significance or importance category should be assigned based on the following table. For example, if the risk has a probability of occurrence of 2 and a severity of 4, a risk significance category of B would be assigned.

**Table 4 - Significance categories of risks**

Risk severity (1-5)	Probability of occurrence of risk (1-5)				
	1	2	3	4	5
5	A	A	A	A	A
4	B	B	B	A	A
3	C	C	B	B	B
2	C	C	C	C	B
1	C	C	C	C	C

Within the framework of Profonanpe' actions, three risk significance categories will be used, as described in the following table:

**Table 5 - Description of risk significance categories**

Category	Risk	Description
A	High	The intervention or activity may generate potentially significant adverse environmental and social impacts that are sensitive, diverse or unprecedented.
B	Moderate	The intervention or activity may generate potential adverse social and/or environmental impacts, but the impacts are less significant than Category A and can be adequately addressed and/or mitigated in the intervention.
C	Minor	The intervention or activity may generate minimal or no potential environmental and social impacts.

Source: Adapted from the Green Climate Fund

To determine the final risk category of the intervention, all the values assigned to the probability of occurrence and severity for each risk analyzed must be averaged, respectively. As a result, two final values of probability of occurrence and severity will be obtained. If decimal values are obtained as averages, round to whole numbers to determine the final category in Table 6 - Categorization of Risks.

**Table 6 - Categorization of Risks**

Type	Risk	Impact	Probability of occurrence	Severity	Significance category
Environmental					

Social					
<i>Assigned risk category</i>			<i>Average=</i>	<i>Average=</i>	<i>Category=</i>

An example is shown below:

Type	Risk	Impact	Probability of occurrence	Severity	Significance category
Environmental	Generation of waste in workshops	Contamination of the community area	4	2	C
	Removal of forest cover to make paths	Change of soil use	3	2	C
Social	Exclusion of women in bio-businesses	Decrease in benefits for women	2	2	C
<i>Assigned risk category</i>			<i>Average</i> $(4+3+2)/3= 3$	<i>Average</i> $(2+2+2)/3= 3$	<i>Final category= C</i>

If during the completion of the form, one or more risks have a “High” significance category (red color in Table 6 - Categorization of risks), the activity to which it corresponds should be eliminated or reformulated to present a lower risk.

The risks and impacts identified and analyzed should be included in Step 3.



### 5.1.3 Step 3: Creation of the Environmental and Social Management Matrix

At this step, for each risk identified, a prevention and/or mitigation measure must be defined. To ensure that these actions are implemented, indicators, frequency of measurement/monitoring, means of verification, schedule for implementing the prevention/mitigation measure, budget and person in charge must be defined. All these elements are included in an environmental and social management matrix, whose reference model is detailed below; however, it may be adapted according to the nature and structure of each intervention.

**Table 7 - Environmental and Social Management Matrix**

Activity/ Process	Social risk	Social/environmental impact	Preventive measure	Mitigation measure (minimize or correct)	Indicator	Frequency of measurement/monitoring of the indicator	Means of verification	Schedule for implementation of the prevention / mitigation measure	Budget	Responsible

## 5.2 Complementary environmental and social tools

The following tools should be considered in a complementary manner to the ESMP described in section 5.1.

### 5.2.1 Solid, liquid and/or gaseous waste management proposal

The intervention team (UGP) must prepare a Waste Management Plan for the intervention, which includes specific minimum measures to prevent air, water and soil contamination in the intervention areas, which could be generated by the implementation of the activities, and which could directly or indirectly affect ecosystems and/or populations.

Therefore, any of the interventions that, (i) seek to improve current waste management practices; and/or (ii) generate solid, liquid or gaseous waste during their interventions; and/or (iii) use, generate, manage, store or dispose of chemicals and/or hazardous materials, including pesticides and/or (iv) consume significant levels of water, energy or other resources, must have a waste management proposal.

For this purpose, the following definitions are taken into account<sup>15</sup>:

**Waste:** Any solid, liquid or gaseous material that is disposed of by disposal, recycling, burning or incineration.

**Solid waste:** Any object, material, substance or element resulting from the consumption or use of a good or service, which its holder discards or intends or has the intention or obligation to discard, to be managed prioritizing waste valorization and in the last case, its final disposal. Solid waste includes any residue or waste in solid or semi-solid phase. Also considered as waste are those which, being liquid or gas, are contained in containers or tanks that are to be disposed of, as well as liquids or gases which, due to their physicochemical characteristics, cannot enter the emission and effluent treatment systems and, therefore, cannot be discharged into the environment. In these cases, the gases or liquids must be safely conditioned for proper disposal.

Depending on their hazardousness, they are classified as hazardous waste and non-hazardous waste:

**Hazardous Waste:** Solid wastes that, due to their characteristics or the handling to which they are or will be subjected, represent a significant risk to health or the environment.

**Non-Hazardous Waste:** Generally, they include any waste and scrap. Includes *domestic or household wastes* such as materials, substances or elements of solid consistency from containers, wrappings, packaging, bottles, jars, resulting from food, and other consumer items; inert materials from demolition/construction; *wastes* such as scrap metal and empty containers (except those that have been used to contain hazardous materials which, in principle, will be managed as hazardous wastes); and *residual wastes* derived from industrial operations such as boiler slag, slag in general and fly ash.

Non-hazardous wastes share the properties of hazardous materials (e.g., flammability, corrosiveness, reactivity or toxicity), or other physical, chemical or biological characteristics that may possess a potential risk of causing harm to human health or the environment if not handled properly.

**Segregation:** The action of grouping certain components or physical elements of solid waste to be managed in a special way.

The Waste Management Plan should consider the following aspects aimed at waste reduction, minimization, generation, transportation, disposal and monitoring, which have been adapted from IFC (2007):

#### 1. Waste prevention

Processes shall be designed and implemented to avoid, or minimize, the quantities of waste generated and the hazards associated with the waste generated, in accordance with the strategy described below:

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<sup>15</sup> Legislative Decree No. 1278, Law of Integral Solid Waste Management, which repeals Law No. 27314, General Waste Law, as of the entry into force of its Regulations.

- Substitute raw materials or inputs with less hazardous or toxic materials or those in which the processing thereof produces smaller volumes of waste.
- Establish good operating and record keeping practices, including inventory control to reduce the amount of waste from materials that are out of date, out of classification, contaminated, damaged, or beyond the needs of the intervention.
- Establish procurement systems that value the returnability of usable materials such as containers and avoid over-ordering of materials.
- Minimize the generation of hazardous waste by implementing rigorous waste segregation systems to avoid mixing hazardous and non-hazardous waste to be handled.

## 2. Recycling and reuse

In addition to the implementation of waste prevention strategies, the total amount of waste could be significantly reduced through recycling actions, which should take into account the following elements:

- Evaluation of waste production processes and identification of potentially recyclable materials, both for the intervention, as well as for other institutions.
- Identification of recyclers or institutions dedicated to recycling located in the surroundings of the intervention area.
- Training and incentivizing the intervention teams so that they are capable of meeting the objectives, contributing to the circular economy<sup>16</sup>.

## 3. Treatment and disposal

If waste is still generated after the implementation of feasible prevention, reduction, reuse, recovery and recycling measures, the waste should be treated and disposed of and all necessary measures should be taken to avoid potential damage to human health and the environment. The selected management techniques should be in accordance with the characteristics of the waste and in compliance with local regulations, and should include one or more of the following:

- Physical, chemical or biological treatment on or off site of the waste to render it non-hazardous prior to final disposal.
- Treatment or disposal in licensed facilities specially designed to receive the waste. Examples include: composting activities for non-hazardous organic waste; properly designed, licensed and managed controlled incinerators or landfills specially designed for the type of waste involved.

## 4. Hazardous waste management

Hazardous waste should always be separated from non-hazardous waste. If the generation of hazardous waste cannot be avoided by implementing the general waste management practices described above, the management of hazardous waste should focus on preventing health, safety and environmental damage, in compliance with the law.

## 5. Waste storage

Hazardous waste should be stored in a manner that prevents or controls accidental releases to air, effluents to soil or water, is protected from direct sunlight, wind and rain, and in containers appropriate for the waste, with appropriate ventilation systems if necessary.

In addition, specific training in handling and storage will be required for hazardous waste storage personnel, as well as available information on chemical compatibility, including labeling of each container to identify its contents, and only these personnel will be authorized to access hazardous waste storage areas. The waste storage area should be clearly identified (labeled) and delimited, and periodic inspections should be carried out to ensure proper handling of the waste.

## 6. Transport

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<sup>16</sup> The circular economy is a modern sustainable development strategy that minimizes the use of resources in the production process and generates new value from waste. Retrieved from <https://www.produce.gob.pe/landing/EconomiaCircular/>

Internal and external transport of waste must be carried out in such a way as to avoid or minimize spills, emissions and risks to the intervention teams and other people.

## 7. Follow-up

responsibility for the reduction of any type of waste. To this end, it is important to carry out regular visual inspections of all waste storage or collection areas to check that there are no signs of accidental releases and to verify that the waste is properly labeled and stored.

The minimum structure of a Waste Management Plan is described below:

**Table 8 - Minimum structure of the Waste Management Plan**

Introduction	Briefly describe the intervention: objective, location, duration, components, stakeholders involved.
Objective	Indicate the objective of the instrument
Scope	Identify and indicate activities or processes that generate solid, liquid or gaseous waste <sup>17</sup> .
Measures to avoid, prevent or reduce waste generation.	For each activity identified, propose measures to avoid, prevent or reduce the amount of waste. A responsible person should be assigned within the team, a timeline, as well as the estimated budget for the implementation of the measure.
Recycling and/or reuse measures	If applicable, propose measures for recycling and reuse of waste. A responsible person should be assigned within the team, a timeline, as well as the estimated budget for the implementation of the measure.
Measures for treatment and disposal and/or storage of waste	If applicable, propose measures for the treatment and disposal and/or storage of waste. A responsible person should be assigned within the team, a timeline, as well as the estimated budget for the implementation of the measure.
Measures for waste transport	If applicable, propose measures for waste transport. A responsible person should be assigned within the team, a timeline, as well as the estimated budget for the implementation of the measure.
Hazardous waste handling measures	If applicable, propose measures for hazardous waste handling. A responsible person should be assigned within the team, a timeline, as well as the estimated budget for the implementation of the measure.
Monitoring and evaluation	Define indicators for the measures, as well as means of verification and monitoring and evaluation actions, to ensure the correct implementation of the plan.

### 5.2.2 Stakeholder involvement and participation (Stakeholder mapping and SIP)

The Stakeholder Involvement Plan (SIP) proposes the effective participation and involvement of stakeholders in intervention activities, incorporating their interests through culturally appropriate consultation mechanisms. Stakeholder involvement is fundamental from the design of the interventions, their implementation, as well as in the monitoring and follow-up stage. Likewise, it favors credibility in the interventions, as well as their sustainability and the achievement of better results.

Similarly, in order to implement appropriate measures to achieve the full and effective participation and involvement of the stakeholders linked to the intervention, it is necessary to carry out a prior analysis of the stakeholders (ideally from the design stage), through stakeholder mapping<sup>18</sup>. This analysis makes it possible to characterize the stakeholders of the intervention, their groups, subgroups and key actors, forms of representativeness and governance, form of participation,

<sup>17</sup> Use the ESP 5 risk identification as a reference. Pollution prevention, in Form 02 of section 5.1.2.

<sup>18</sup> This mapping can be done through a social diagnosis of the population, its area of intervention, use of the territory, worldview and cultural practices, access to public services, productive and economic activities, among others. Tools such as interviews, focus groups, talking maps, observation guides, among others, can be used for this purpose.

as well as their perceptions, concerns and expectations. Likewise, the mapping makes it possible to identify which actors should be at each stage of the intervention and what type of relationships and intervention they will have in the intervention.

Similarly, it is important to consider the disclosure of information related to the intervention in a timely, objective and inclusive manner, with the objective of being transparent. The dissemination strategy and the SIP should be linked to the intervention’s communications plan.

The measures for stakeholder involvement take special relevance in access to information and capacity building, as well as the transparency of the intervention’s actions during its management to avoid future claims or conflicts. Therefore, this policy should be applied to all Profonanpe interventions.

The main points to consider in a stakeholder involvement plan are the following:

**Table 9 - Structure of a Stakeholder Involvement Plan**

Process / Activity	Stakeholders involved	Involvement actions	Indicators	Means of verification	Responsible	Implementation schedule and follow-up	Financing

### 5.2.3 Gender Action Plan

Profonanpe’s interventions are carried out with a gender perspective, in a cross-cutting manner, from the design phase, during implementation, as well as in the monitoring and evaluation stages. This is important to ensure that the rights of men and women involved in the interventions are not violated, as well as to favor the reduction of existing gender gaps. Similarly, gender-sensitive interventions allow activities to ensure that women and men have equitable access to, use and control of the resources and benefits of the intervention, as well as to enable the recognition, participation and social and economic valuation of women’s work.

It is important to highlight that considering the roles and functions of women in interventions has allowed most environmental policies, programs and institutions to be more efficient, effective and sustainable, as they incorporate their knowledge, needs and priorities.

#### Gender Action Plan

A Gender Action Plan allows interventions to incorporate the gender approach through strategies linked to the policies of cooperating sources and/or Profonanpe. Specifically, the plan includes a set of tasks aimed at promoting the equal participation of men and women, as well as implementing actions and proposals to reduce the gaps throughout the intervention cycle and promote its sustainability. The Gender Action Plan must be aligned with the intervention’s Results Framework, as well as with the ESMP.

The first step for the design of the Gender Action Plan is to make a social and gender diagnosis in the area of intervention. This should be done at the design stage of the interventions and updated during their implementation, in order to generate strategies for gender mainstreaming, as well as adequate follow-up and monitoring.

The following is the Gender Action Plan matrix, which should identify the processes or activities to be carried out during the intervention for gender mainstreaming, the expected result according to the results framework, as well as the possible risks or impacts to achieve this result. Likewise, the prevention and/or mitigation measure for that risk or impact must be incorporated. Finally, the indicator and the means of verification of this measure should be mentioned, as well as the person(s) responsible for its implementation, the timetable and the allocated budget.



**Table 10 - Gender action plan matrix**

Process or activity	Expected result	Identified risk	Identified impact	Preventive and/or mitigation measure	Indicator	Means of verification	Responsible	Implementation schedule and follow-up	Budget

Within this framework, the following definitions should be considered:

- **Gender gaps**<sup>19</sup>. It reflects the differences between men and women with respect to opportunities for access to and control of natural, economic, social, cultural and political resources, among others.
- **Gender approach**. It makes it possible to examine reality and social relations, taking into account the roles socially assigned to women and men, as well as their multiple identities, the opportunities for access to and control of resources and the degree of power they exercise in society<sup>20</sup>. The gender approach also makes it possible to identify the causes of inequalities between men and women and to formulate measures to help reduce these gaps.
- **Mainstreaming of the gender approach**<sup>21</sup>. It is a strategy to ensure that the needs and interests of women and men are considered in an integral manner in the design, implementation, monitoring and evaluation of interventions. Mainstreaming is achieved by promoting the effective participation of women and men in the objectives of the interventions, so that the results address the priority interests and needs of both.

#### 5.2.4 Indigenous Action Plan

The Indigenous Action Plan is detailed in the document “Action Plan of the Indigenous or Native Peoples Policy”<sup>22</sup>, which considers tools to incorporate the participation of indigenous or native populations in the design and implementation of interventions that cover their territories, as well as optional tools for the relationship with the populations and their representative organizations.

## 6. MONITORING AND EVALUATION

As mentioned in the section on roles and functions, MED is responsible for supervising compliance with the implementation of environmental and social safeguards in the interventions in which Profonanpe participates. This work will be carried out through its topic specialists (Environmental/Social), who must coordinate with the RDO's Environmental and Social Policy Specialist regarding methodology, procedures, instruments and corresponding forms.

Within this framework, the MED conducts at least an annual evaluation of compliance with the ESPs activated in the interventions in which Profonanpe participates, subject to the allocated budget, during the first quarter of the following year. It also validates and verifies that external evaluations on safeguards are carried out by consultants specialized in each intervention. These must be carried out at mid-term and at the end of the intervention and may be included in a section or chapter of a performance evaluation of the intervention. This evaluation process should also be coordinated with RDO's Environmental and Social Policy Specialist.

<sup>19</sup> Regional Conference on Population and Development in Latin America and the Caribbean, 2018

<sup>20</sup> From the “Gender Plan in a context of climate change in 7 ethnic groups in the Datem del Marañón Province” (Profonanpe, 2020).

<sup>21</sup> From “Guidelines for mainstreaming a gender equality approach in biodiversity conservation and climate change programs and projects” (BLANCO, Montserrat - Profonanpe, 2020).

<sup>22</sup> It can be accessed through the following link: <https://profonanpe.org.pe/politicas-institucionales/>

For monitoring and evaluation, it is recommended that at least the information contained in the Environmental and Social Management Matrix (described in Step 3) or a similar instrument for the intervention be followed up, in particular the implementation of prevention and/or mitigation measures associated with the risks and impacts identified.

With the information from these evaluations, the RDO may update this manual with the objective of incorporating improvements based on lessons learned and good practices gathered from the interventions. External institutional evaluations on environmental and social safeguards will be conducted every 5 years, for which a subject matter expert will be hired and coordinated by the RDO.

## 7. CONCEPTUAL APPENDICES

### 7.1 Conceptual detail on regulatory levels

The following are the regulatory levels to be considered:

- **International agreements:** emphasis on those agreements, conventions and treaties of an international nature that the country has signed on environmental, climate change, indigenous peoples, women, children, and cultural and natural heritage issues, and that are linked to the subject matter of the activities.
- **National rules:** national legislation related to the subject matter of the activities. This includes national strategies, programs and plans.
- **Regional and local rules:** regional and local rules that are within the scope of the activities (e.g. regional or municipal ordinances).
- **Permits, licenses, authorizations and/or environmental certifications:** certifications, licenses and/or authorizations required by the competent authorities for the execution of the activities.

Once the regulatory framework that is activated at the intervention level has been identified, the relevant requirements and actions needed to comply with the regulations must be identified, with special attention to the national, regional and local levels.

### 7.2 Conceptual detail on biodiversity conservation

Profonanpe manages interventions that promote the conservation of biological diversity and habitats, and the sustainable use of natural resources that contribute to the sustainable development of local communities and the country.

It is recommended that the following concepts<sup>23</sup> be considered for the analysis of Steps 1 and 2 of Chapter 5, with respect to ESP 3. "Biodiversity conservation":

**Aquaculture**<sup>24</sup>: Set of technological activities oriented to the cultivation or breeding of aquatic species that covers their complete or partial biological cycle and is carried out in a selected and controlled environment in natural or artificial water environments, whether in marine, fresh or brackish waters. It includes stocking or seeding and restocking or replanting activities, as well as research activities and primary processing of the products from such activity.

**Agroforestry**: Land use that consists of the associated management of forest and agricultural species in the same plot in space and time. They include practices of integration, preservation and management of perennial woody species in annual or perennial agricultural production systems.

**Sustainable use**: Use of the goods and services of forest and other wild vegetation ecosystems, through management tools, in a manner and at a rate that does not cause their long-term decline, thereby maintaining the potential to meet the needs of present and future generations.

<sup>23</sup> Law 29763 and its Regulations; MINAM (2014); WWF (n.d); Regulation of Law 27460.

<sup>24</sup> Retrieved from the Regulations of Law No. 27460 - Law for the Promotion and Development of Aquaculture (Article 7): [http://www2.produce.gob.pe/RepositorioAPS/1/jer/PROPESCA\\_OTRO/marco-legal/1.2.1.%20REGLAMENTO%20LEY%2027460-10.07.pdf](http://www2.produce.gob.pe/RepositorioAPS/1/jer/PROPESCA_OTRO/marco-legal/1.2.1.%20REGLAMENTO%20LEY%2027460-10.07.pdf)

**Biodiversity:** Variability of living organisms from any source, including, inter alia, terrestrial and marine and other aquatic ecosystems and the ecological complexes of which they are part; includes diversity within species, between species, and of ecosystems.

**Bio-businesses:** These are those businesses based on the profitable use of biodiversity products taking into account environmental, social and economic sustainability criteria. A bio-business instrumentalizes the business model that incorporates the internalization of costs for the conservation of natural resources, the inclusion of communities and traditional knowledge in the generation of value and the dynamization of local economies.

**Vegetation cover:** Layer of natural vegetation that covers the land surface, comprising a wide range of biomasses with different physiognomic and environmental characteristics ranging from grasslands to areas covered by natural forests. Also included are induced vegetation covers that are the result of human action, such as cultivated areas.

**Ecosystem:** Dynamic complex of plant, animal and microorganism communities and their non-living environment interacting as a functional unit.

**Fragile ecosystem:** Ecosystems indicated in the General Environmental Law, which possess certain characteristics or unique resources with low capacity to return to their original conditions, and are unstable in the face of impacting events caused by humans or nature, which produce a profound alteration in their structure and composition. These are deserts, semi-arid lands, mountains, swamps, paramos, jalcas, wetlands, bays, small islands, wetlands, high Andean lagoons, coastal hills, cloud forests and relict forests.

**Biological diversity:** Is the variability of living organisms from any source including, among others, terrestrial and marine ecosystems and other aquatic ecosystems, as well as the ecological complexes of which they are part. It also includes diversity within species, between species and within ecosystems and their relationship with others, in accordance with the Convention on Biological Diversity. It also includes genetic diversity.

**Natural habitats:** Areas of land and water, where: (i) the biological communities of the ecosystems consist mostly of native plant and animal species and (ii) human activity has not substantially modified the primary ecological functions of the area.

**Conservation method:** Those forms of biodiversity management and use that comprise different conservation and sustainable development objectives, such as natural protected areas, conservation concessions, conservation easements, among others.

**Forest plantations:** Forest ecosystems constituted from human intervention through the installation of one or more forest species, native or introduced, for the production of timber or forest products other than timber, protection, ecological restoration, recreation, provision of environmental services or any combination of the above.

**Forest product:** All harvestable components of forest resources extracted from the forest, plant associations and/or plantations. They can be timber or non-timber.

### 7.3 Conceptual detail on climate change

Profonanpe promotes the implementation of interventions aligned with national objectives and priorities on climate change and that contribute to the reduction of greenhouse gases (GHG), and to the reduction of vulnerability and increase the adaptive capacity and resilience of ecosystems and populations.

It is recommended that the following concepts<sup>25</sup> be considered for the analysis of Steps 1 and 2 of Chapter 5, with respect to ESP 4. "Climate change":

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<sup>25</sup> Law 30754; IPCC (2018)

**Climate change:** A change in climate attributed directly or indirectly to human activity that produces a variation in the composition of the global atmosphere and that is in addition to natural climate variability observed over comparable time periods.

**Greenhouse Gases (GHG):** Gases in the atmosphere, of natural or human origin, that trap the sun's energy in the atmosphere, causing it to heat up. Examples of activities that generate GHGs through human activity are land use change and the burning of fossil fuels (coal, natural gas and oil) to generate energy and for transportation purposes.

**Population in vulnerable situations:** The population comprised of women, children and adolescents, older adults, people with disabilities, indigenous or native peoples, people deprived of liberty, migrants and those in poverty, whose economic, social and cultural conditions reduce their capacity to adapt and mitigate climate change, so they are more exposed to the impacts and risks of climate change.

**Sink:** A reservoir (of natural origin or a product of human activity, in soils, oceans and plants) in which a greenhouse gas, an aerosol or a precursor of a greenhouse gas is stored.

**Vulnerability:** Tendency or predisposition to be adversely affected. Vulnerability comprises a variety of concepts and elements including sensitivity or susceptibility to harm and lack of capacity to respond and adapt.

#### 7.4 Conceptual detail on cultural heritage

Interventions managed by Profonanpe should be designed and implemented in such a way that the activities respect and avoid negatively affecting the nation's cultural heritage<sup>26</sup>, as well as sites and practices that are not officially recognized, but have cultural or sacred value for the actors involved in the projects. Some examples of cultural heritage may be of a tangible nature (archaeological sites, paintings, ceramics, sculptures, books, documents, textiles) or intangible (traditional medicine, legends, gastronomic practices, religious representations, among others).

Likewise, in the event that cultural heritage is found or may be affected during the intervention, a procedure for unforeseen heritage findings must be included, including the collaboration of experts to evaluate the cultural heritage found, taking into account the General Law of Cultural Heritage of the Nation (Law No. 28296), which states that any public or private work involving soil removal must have the respective permit. The institution responsible for granting such authorization is the Ministry of Culture, through a Certificate of Non-existence of Archaeological Remains (CIRA).

#### 7.5 Conceptual detail on involuntary resettlement and restriction of the use of renewable natural resources

Profonanpe does not execute or channel funds for projects that involve involuntary resettlement and/or restricting the use of natural resources of local populations.

#### 7.6 Conceptual detail on occupational safety

Profonanpe ensures that its personnel take into account adequate occupational safety conditions to prevent accidents, injuries, and illnesses. In this sense, it has an Internal Health and Safety Regulation, which is an instrument for action and the establishment of a culture of occupational risk prevention. It also has an Occupational Health and Safety Committee, whose functions include the following:

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<sup>26</sup> Law No. 28296, General Law of the Cultural Heritage of the Nation, defines cultural heritage as follows: "The Cultural Heritage of the Nation is understood as any manifestation of human activity -material or immaterial- that, due to its importance, value and paleontological, archeological, architectural, historical, artistic, military, social, anthropological or intellectual significance, is expressly declared as such or is legally presumed to be such. Such property is public or private property, subject to the limitations established by this Law."



- Ensure that all employees are aware of Profonanpe's Official or Internal Occupational Safety and Health Regulations.
- Approve the Annual Occupational Health and Safety Program.
- Oversee compliance with Profonanpe's Internal Occupational Health and Safety Regulations.



## 8. APPENDIX

### 8.1 Comparative matrix of Profonanpe's ESP vs. International Cooperation Sources

PROFONANPE'S ESP	IFC/GCF PERFORMANCE STANDARDS	WB OPERATIONAL POLICIES (2016-2017)	WB ENVIRONMENTAL AND SOCIAL STANDARDS (2018).	AF ENVIRONMENTAL AND SOCIAL POLICIES	IDB OPERATIONAL POLICIES	NEIAS LAW No 27446	WWF ENVIRONMENTAL AND SOCIAL MANAGEMENT STANDARDS
<b>ESP 1. Evaluation and management of environmental and social impacts and risks of programs and/or projects</b>	<b>Performance Regulation 1:</b> Evaluation and management of environmental and social impacts and risks of programs/projects	<b>OP/BP 4.01</b> Environmental Assessment	<b>Environmental and Social Standard 1:</b> Diagnosis and Management of Environmental and Social Risks and Impacts;	Assessment of compliance with the Fund's 15 principles through the Implementing Entity's Environmental and Social Management System.	<b>Policy 703.</b> Environment		Management of environmental and social risks
<b>ESP 2. Compliance with the regulations</b>		<b>OP/BP 4.01</b> Environmental assessment <b>OP/BP 4.04</b> Natural Habitats <b>OP/BP 4.36</b> Forests <b>OP/BP 4.10</b> Indigenous Peoples <b>OP/BP 4.12</b> Involuntary Resettlement		Law Enforcement		(i) Others arising from national environmental policy.	
<b>ESP 3. Biodiversity conservation</b>	<b>Performance Regulation 6:</b> Biodiversity conservation and sustainable management of living natural resources OP/BP 4.04 Natural Habitats	<b>OP/BP 4.04</b> Natural Habitats <b>OP/BP 4.36</b> Forests	<b>Environmental and Social Standard 6:</b> Biodiversity conservation and sustainable use of natural resources;	Protection of natural habitats Biodiversity conservation Land and soil conservation Climate change		<b>c)</b> The protection of natural resources, especially water, soil, flora and fauna. The protection of natural protected areas; <b>e)</b> The protection of ecosystems and scenic beauties, due to their importance for natural life; <b>d)</b> Protection of natural protected areas;	Protection of natural habitats

ESP 4. Climate change	Performance Regulation 3: Resource efficiency and pollution prevention	OP/BP 4.36 Forests	Environmental and Social Standard 3: Management and efficient use of resources and pollution prevention.	Climate change		b) The protection of environmental quality, both of the air, water and soil, as well as the impact that noise and solid and liquid waste and gaseous and radioactive emissions may have;	
ESP 5. Pollution prevention	Performance Regulation 3: Resource efficiency and pollution prevention		Environmental and Social Standard 3: Management and efficient use of resources and pollution prevention.	Pollution prevention and resource efficiency Land and soil conservation		b) The protection of environmental quality, both of the air, water and soil, as well as the impact that noise and solid and liquid waste and gaseous and radioactive emissions may have;	Pest management
ESP 6. Stakeholder involvement and participation			Environmental and Social Standard 10: Stakeholder involvement and access to information.	Access and equity Marginalized and vulnerable groups Involuntary resettlement			Community stakeholder participation Grievance mechanism
ESP 7. Gender approach		OP/BP 4.20 Gender and Development		Gender equity and women's empowerment	Policy 761 Gender equality in development		Gender policy
ESP 8. Indigenous or Native Peoples	Performance Regulation 7: Indigenous Peoples	OP/BP 4.10 Indigenous Peoples	Environmental and Social Standard 7: Indigenous Peoples/Sub-Saharan Africa/historically marginalized local populations;	Marginalized and vulnerable groups Access and equity Indigenous Peoples	Policy 765 Indigenous Peoples	f) Protection of community systems and lifestyles;	Indigenous people
ESP 9. Cultural and natural heritage	Performance Regulation 8: Cultural heritage		Environmental and Social Standard 8: Cultural heritage;	Cultural heritage		h) The protection of archaeological, historical, architectural heritage and national monuments; e,	Cultural resources

<p><b>ESP 10. Restriction of access to and/or use of natural resources and involuntary resettlement</b></p>	<p><b>Performance Regulation 5:</b> Land acquisition and involuntary resettlement</p>	<p><b>OP/BP 4.12</b> Involuntary resettlement</p>	<p><b>Environmental and Social Standard 5:</b> Land acquisition, land use restrictions, and involuntary resettlement;</p>	<p>Involuntary resettlement Land and soil conservation</p>	<p><b>Policy 710.</b> Involuntary resettlement</p>		<p>Access restriction and resettlement</p>
<p><b>ESP 11. Occupational safety</b></p>	<p><b>Performance Regulation 2:</b> Labor and working conditions <b>Performance Regulation 4:</b> Community health and safety</p>		<p><b>Environmental and Social Standard 2:</b> Labor and working conditions. <b>Environmental and Social Standard 4:</b> Community health and safety;</p>	<p>Public health Core labor rights</p>		<p>a) The protection of people's health;</p>	<p>Community health and safety</p>

## 8.2 Glossary of terms

The definition of the terms used in this manual are those established in the regulations of the National Environmental Impact Assessment System Law (NEIAS)<sup>27</sup>, as well as in Profonanpe's environmental and social policies (ESP). The main terms used in this document are listed below:

Term	Definition
<b>Stakeholders</b>	Set of individuals, institutions and/or organizations that: <ol style="list-style-type: none"> <li>1. Are directly or indirectly related to one or more interventions carried out by Profonanpe within the framework of its functions, and/or</li> <li>2. Are affected by or affect the development of certain activities or actions of the interventions carried out by Profonanpe, and/or</li> <li>3. Possess information, resources, experience, and some level of influence in the development of one or more activities or actions of the interventions in which Profonanpe participates. Stakeholders can be classified as direct or indirect stakeholders according to their relationship, impact and level of influence on the interventions in which Profonanpe participates.</li> </ol>
<b>Adaptation</b>	Refers to adjustments in ecological, social or economic systems in response to actual or expected climatic stimuli and their effects or impacts.
<b>Environment</b>	Set of physical, chemical and biological elements, of natural or anthropogenic origin, that surround an organism, a population or a community and determine its conditions of existence, growth, development and reproduction.
<b>Technical executor</b>	Entity responsible for the execution of the activities of an intervention, in order to reach the objectives and achievements established in the respective agreement or contract.
<b>Technical financial executor</b>	Entity responsible for the financial execution and, in general, for the achievement of the project's objectives at the technical and financial level.
<b>Accredited entity</b>	Entity that is supported by an international organization, under certain standards such as environmental, social and fiduciary standards. The role of the accredited entity is related to the management and supervision of the implementation of a given intervention, including the preparation of the financing proposal, the subsequent management of the necessary stages of the implementation process until its conclusion (project management) on behalf of the funder. The accredited entity may also assume the role of managing, executing or implementing entity.
<b>Administrative entity</b>	Entity responsible for the management of the financial resources allocated to a given intervention, the administration of the funds and the timely disbursement under the guidelines established by Profonanpe or funding source, as appropriate.
<b>Implementing entity (or intermediary)</b>	Entity accredited by an international fund that receives and channels funds, ensuring that the objectives and expected results of a given intervention are achieved with the donor. When this role is assumed by an entity other than Profonanpe, it is called an Implementing Partner.
<b>Profonanpe Safeguards Team</b>	Formed by the Environmental and Social Policy Specialist from the RDO and by the topic specialists (social/environmental) from the MED.
<b>Fiduciary standards</b>	Profonanpe's framework of policies, systems and practices that a grantee is required to comply with to manage financial resources and implement interventions.

<sup>27</sup> Approved by Supreme Decree N° 019-2009-MINAM where according to its article 34 all reference to environmental impact in the SEIA framework includes the social impacts related to the implementation of the project.

<b>Fund</b>	<p>Depending on the context in which it is used, it refers to:</p> <ol style="list-style-type: none"> <li>1. Accounting. Refers to the financial resources generated, obtained or originated in the production or provision of services by an entity such as Profonanpe.</li> <li>2. National. Refers to entities that capture, manage and channel financial resources for the fulfillment of the respective national environmental agendas. For example, Profonanpe.</li> <li>3. Cooperation. Refers to the entity that holds and allocates financial resources for the fulfillment of certain international objectives under certain conditions and standards, such as the Green Climate Fund.</li> </ol>
<b>Financing source</b>	Entity creditor of funds due to its nature of creation, and that allocates funding for the achievement of specific objectives through interventions. The nature of the entity may be multilateral, bilateral, governmental, corporate, NGO or other. It is the entity to which the technical and financial execution of the use of the funds allocated must be finally rendered.
<b>Impact</b>	Positive or negative, potential or actual alteration of one or more components of the physical, natural or cultural environment, caused by a given action or set of actions within the framework of an intervention.
<b>Cumulative impacts</b>	Impact on the environment caused by certain interventions carried out or to be carried out in a space of common influence, which may have a synergistic effect. Cumulative impacts may be the result of actions of lesser importance seen individually, but significant as a whole.
<b>Intervention</b>	Includes the various actions in which Profonanpe participates, such as programs, projects, sub projects, training, events, campaigns and activities within the framework of its assigned competencies and responsibilities.
<b>Mitigation measures</b>	Actions aimed at minimizing and/or correcting negative impacts or damage to stakeholders, the environment and/or private property during the execution of an intervention.
<b>Preventive measures</b>	Actions aimed at avoiding negative impacts or damage to stakeholders, the environment and/or private property during the execution of an intervention.
<b>Monitoring</b>	Systematic process of collecting, analyzing and using information to track progress in achieving the objectives of a given intervention, which will guide management decisions. Monitoring generally addresses processes in terms of how, when and where activities take place, who executes them, and how many people or entities benefit.
<b>Annual Procurement and Contracting Plan (APCC)</b>	Logistics management instrument used to program, disseminate and evaluate the needs for goods, services and works required by an institution or intervention for the fulfillment of its purposes.
<b>Operational Plan or Annual Operational Plan (AOP)</b>	A document that sets out the operational (activities, goals) and financial planning for a specific year of an organization or intervention. This document could include, for example: logical framework, results framework, plan and costing of activities, disbursement schedule, milestone schedule and detailed budget, among others.
<b>Program</b>	A flexible and temporary organizational structure created to coordinate, direct and supervise the implementation of a set of projects and related activities in order to obtain results and benefits related to the organization's strategic objectives. It is also understood as a set of projects that are articulated around a single objective, and that serves to generate benefits that could not be generated by the development of the projects that comprise it if they were done individually.
<b>Project</b>	A set of temporary actions (with a well-defined beginning and end) planned and interrelated, aimed at obtaining a single product, service or result, with a specific budget.
<b>Indigenous or native peoples</b>	This group includes peasant or Andean communities and native communities or Amazonian peoples. In order to identify them, objective and subjective criteria are considered, as defined in the Law on the Right to Prior Consultation. The objective criteria are: a) Direct descent from

	the original populations of the national territory, b) Lifestyles and spiritual and historical ties with the territory they traditionally use or occupy, c) Their own social institutions and customs, and d) Cultural patterns and way of life different from those of other sectors of the national population. The subjective criterion is linked to the collective group's awareness of having an indigenous or original identity. According to information from the Ministry of Culture, there are 55 Indigenous or Native Peoples. Of these, 51 belong to the Amazon and 4 to the Andes.
<b>Risk</b>	It is the combination of the probability of occurrence of certain hazards and the severity of the resulting impacts on a given area.
<b>Environmental and social safeguards</b>	Measures, actions and standards to prevent, minimize and/or correct possible adverse environmental and social risks and impacts (including gender aspects) that may arise during the implementation of interventions, as well as to enhance the positive impacts generated. Likewise, their consideration and compliance allow improving the results of the interventions in which Profonanpe participates directly and indirectly.
<b>Subproject (or Subgrant)</b>	A set of actions organized and executed by a third party (financed by or through Profonanpe) that contribute to the fulfillment of the specific objectives and goals of a given intervention (program or project).
<b>Management unit of an intervention</b>	Team made up of the professionals in charge of an intervention. They are in charge of implementing the activities of an intervention.