

Environmental and Social Management Plan (ESMP)

for

Resilient Puna

Ecosystem based Adaptation for sustainable high Andean communities and ecosystems in Peru

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Abbreviations

CRVC	Climate Resilient Value Chain
EbA	Ecosystem based Adaptation
EE	Executing Entity
E&S	Environmental and Social
ESS	Environmental and Social Safeguards
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
FPIC	Free, prior, and informed consultations
GAP	Gender Action Plan
GCF	Green Climate Fund
GHG	Greenhouse Gas
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GRM	Grievance Redress Mechanism
IPLCEP	Indigenous People and Local Communities Engagement Plan
MIDAGRI	Ministry of Agricultural Development and Irrigation
MINAM	Ministry of Environment
MINCUL	Ministry of Culture
MINSa	Ministry of Health
MRV	Monitoring, Reporting and Verification
SEP	Stakeholder engagement plan
SHAP	Southern High Andes of Peru

1. Environmental and social management plan

The Environmental and Social Management Plan (ESMP) documents the project's Environmental and Social Standard (ESS) risk management strategy (including prevention and mitigation actions). It serves as an "Umbrella Document" that integrates the findings of all impact studies carried out during the design phase, the plans and other provisions for complying with the requirements of the Standards that were triggered as well as country- and site-specific information relevant for the project's ESS risk management strategy. The ESMP is an integral part of the project proposal and will be implemented, monitored and updated accordingly.

The aims of the ESMP are:

- Establish measures to prevent and mitigate the E&S risks identified in the Environmental and Social Impact Assessment (ESIA) (Annex 6a)
- Ensure the project is compliant with the (Country) regulatory framework.
- Ensure the project is compliant with the Environmental and Social requirements of the Green Climate Fund (GCF) and GIZ.
- Ensure adequate human resources and budget have been allocated by the project to implement the ESMP.

The ESMP is fully integrated in the project design and its costs are fully included in the project costs.

1.1 Environmental and social management system of the project

As required under ESS1, the environmental and social management system for the project includes/covers:

- The adoption of an E&S policy for the project.
- A procedure for identification of new and upcoming risks and impacts.
- Organizational capacity and competency: the definition of staffing and training needs
- Inclusion of environmental and social monitoring in the project Monitoring, Reporting and Verification (MRV) system.
- Updating of the ESMP.
- Implementation of the Gender Action Plan (GAP, see Annex 8a).
- Disclosure of the Environmental and Social (E&S) documentation.
- Implementation of the project's Stakeholder Engagement Plan (SEP as part of Annex 7) and Grievance Redress Mechanism (GRM described in the ESIA, see Annex 6a).

1.2 Implementation arrangements

GIZ will recruit an ESS specialist to coordinate all ESS related processes within the project as well as the implementation of the ESMP. All Executing Entities (EE) will nominate their ESS focal points to ensure better planning, implementation, and the monitoring of the ESMP.

During the inception phase, GIZ will develop an effective Environmental and Social Safeguards Management and Monitoring System ESS-MS (defined as a set of relevant procedures and plans, organisational structure, planning activities and resources for developing, implementing, achieving, reviewing and maintaining the Environmental and Social Requirements) in close coordination with all EE ESS focal points.

A Project Management Committee will be established and will oversee the ESMP implementation.

1.3 Training needs

Trainings for the representatives of EEs and project staff will be conducted. The overall goal of the training is to deliver necessary information on GCF ESS and the project's environmental and social documentation including ESIA, ESMP, Stakeholder Engagement Plan (SEP) and Indigenous People and Local community Engagement Plan (IPLCEP). The main concept of the training is to provide necessary knowledge and skills required for implementation of ESMP procedures throughout the project lifecycle.

Training modules will be designed according to the identified training needs. The training includes – among other contents – i) the GCF's Environmental and Social Policy and ESS Standards as well as ii) a general overview on the ESIA for the project and iii) the SEP and the Grievance Mechanism of the project.

The project's Grievance Redress Mechanism (GRM) will be developed in detail during the inception phase and will be promoted in the target regions through awareness raising and information campaigns. The GRM will built on existing mechanisms in use by the Executing Entities and consider the Redress Mechanism of GCF.

1.4 Monitoring, Reporting and Verification (MRV)

The implementation of the ESMP will be monitored. Compliance with the ESS as well as the progress of implementation of the ESMP will be monitored through Results-Based Monitoring (RbM) workshops (bi-annual) as well as through the ESS monitoring system itself. And for each measure it should be assessed whether the implementation is on due course and according to the schedule (e.g. delayed; on track or ahead of schedule). Where delays are encountered the reasons need to be explained and solutions suggested. Aside from progress the effectiveness of the mitigation measures will also need to be monitored, additional monitoring activities and indicators can be established where needed.

The project will use observations and stakeholder consultations to assess the measures' effectiveness in accordance with the Stakeholders Engagement Plan. Synergies with the project's monitoring plan are used and might include indicators that can be used for judging the effectiveness of mitigation measures. Annual monitoring will also identify any additional environmental or social risks that may have emerged since the project started and establish appropriate prevention and mitigation measures for any significant new risk. These additional risks and their prevention and mitigating measures will be added to the ESMP in order to update it and reported on as part of the annual performance report. The annual ESMP Progress is reviewed by the GCF Oversight Unit of GIZ as part of the systematic risk dialogue and periodic project supervision missions.

The E&S monitoring, reporting and verification approach is integrated into the general project approach.

Environment and Social Management Plan (ESMP)

The table below provides the organisational responsibilities for the ESMP measures.

Table 1: ESMP measures

N°	ESS risks ¹ brief description of cause / risk / impact (country or site-specific?)	Reference to ESS & Analysis in ESIA or any other impact study carried out (e.g. DD report)	Risk Assessment and Strategy followed* (prevent, minimize, mitigate, avoid, compensate) *update during inception phase	Project Activity/ Sub-Activity Refer to project activities from FP log frame / include N# & short name.	Prevent/ Mitigation measure ²	Responsibility If more than one EE is responsible, please indicate who is in the lead.	Time-frame ³	Resources & cost estimation shortly describe resource needed	Expected result or evaluation criteria for successful implementation (for ESMP monitoring purposes)
1	Environmental and social risks may occur mostly related to 1) the participatory process for engaging beneficiaries and supporting the design of intervention plans where EbA measures and climate-resilient value chains are prioritised for future	ESS1	Medium risk	1.1.1 Setting up the basis for financing and implementing EbA measures and Climate Resilient Value Chains 1.1.2 Financing	Adequately develop and implement a gender and culturally sensitive beneficiary engagement and communication strategy. Ensure an adequate identification of potential beneficiaries	GIZ- Safeguard and Gender advisor GIZ- Communication advisor CSOs and promoters hired for Activity 1.1.1.	Y: 1	1 GIZ- Safeguard and Gender advisor 144,000 1 GIZ- Communication advisor 300,300 Included in Activity 1.1.1 (hiring CSOs, local promoters,	List of potential beneficiaries who fulfil Puna Facility requirements. Existing screening lists from Profonanpe adjusted to the proposed project context. If applicable, documentation of

¹ Potential negative unintended impacts, and/or co-benefits

² Where mitigation measures have already been considered as project activities, please only enter "refer to activity"

³ Set out a timeline or goal within the project duration

	<p>local initiatives. Potential risk related to exclusion of potential beneficiaries, increasing the conflicts between local population and inadequate design of measures leading to maladaptation, 2) the implementation of Ecosystem based Adaptation (EbA) and proposed Climate Resilient Value Chains (CRVC). Potential risks may occur if there is no adequate ESS review and monitoring procedure.</p>			<p>and implementing of EbA measures and Climate Resilient Value Chains 2.1.1. Establish the Puna Facility for the long-term financing of EbA measures and Climate Resilient Value Chains</p>	<p>following the eligibility and ineligibility criteria for the Puna Facility (refer to table 2 and 3 in the Operations Manual (Annex 21)). Ensure an adequate site-specific climate diagnosis and territorial intervention plan including standard measures to reduce social and environmental risks. Set-up of ESS review and monitoring procedure for screening, assessing and managing potential E&S impacts process of Local initiatives in the Puna Facility based on the principles and procedures as described in table 22 of the ESIA, potential risks as identified in Table 23 and 24 in the ESIA. If needed (for risk category B) Profonanpe through the Environmental, Social and Gender specialist of the Facility Management</p>	<p>1 Profonanpe-Monitoring specialist 1 Profonanpe-Environmental Safeguard specialist 4 Profonanpe-Technical monitors in the regions</p>		<p>development of engagement strategy, etc.) 2,199,853 Management of the Puna Facility including ESS screening, support in developing the ESS plans, monitoring, technical assistance for the implementation of the plans etc. Profonanpe-Monitoring specialist 232,840 Profonanpe-Environmental Safeguard specialist 197,813 Profonanpe- 4 Technical monitors in the regions 381,517 CSOs technical assistance 360,000</p>	<p>the disclosure procedure and reports on the implementation of Local initiative ESS plans.</p>
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					Unit will support beneficiaries in developing Local initiative ESS matrix. Profonanpe's disclosure procedures should be respectively considered.				
2	Accidents during construction and land work or contagion could occur, due to the requirement of extensive manual labor. Potentially occupational and safety risks during Local initiative implementation.	ESS2	Low risk	1.1.2 Financing and implementing of EbA measures and Climate Resilient Value Chains	Implementation of site-specific labour management procedures including health and safety measures based on Local initiative specific safety protocol including protective equipment, when necessary, protection material when needed, signalization and information, surveillance, contact with local health centres, etc. Following Profonanpe's Code of Ethic and Implementation Protocol ⁴ .	Profonanpe (see #1)	Y: 1-5	Management of the Puna Facility including support in developing safety protocol/plan and technical assistance during implementation. (see #1) Profonanpe-Monitoring specialist (see #1) Profonanpe-Environmental Safeguard specialists (see #1) Profonanpe-Technical monitors in the regions (4) (see #1)	ESS 2 covered in the screening list and safety protocol in Local Initiative Grant Agreements according to proposed EbA measure. Verification means from Profonanpe through a Local initiative specific safety protocol/plan and respective complaint attention mechanism.

⁴ 2.-CodeOfEthics_ENG-1.pdf (profonanpe.org.pe)

								CSOs technical assistance (see #1) Technical assistance for the refinement of the proposals 364,774	
3	Risk of Greenhouse gas (GHG) emissions and climate change mitigation: in case the interventions proposed within the Climate Resilient Value Chains include mechanization measures to increase productivity or for processing and if specific potential markets are targeted abroad within the support of project beneficiaries in accessing markets.	ESS3	Low risk	1.1.2 Financing and implementing of EbA measures and Climate Resilient Value Chains 1.1.3. Technical Assistance for implementing EbA measures and Climate Resilient Value Chains at local landscape level	Ensure adequate following of eligible CRVCs as part of the selection criteria of the Puna Facility (as planned for activity 1.1.2) Include promotion of access to national markets	Part of Profonanpe Facility Management Unit (FMU): Facility GIZ- Value Chain expert	Y: 1-5	1 Profonanpe-Facility coordinator 307,226 1 Profonanpe-Operation specialist 84,114 1 Profonanpe-Administrative assistant 113,732 1 GIZ - Value Chain expert 290,160	List of selected Local initiatives following eligible CRVCs. List of potential buyers to be connected with local communities, producers' associations and/or cooperatives should also include actors from national markets.
4	Mismanagement of water resources in the watershed through improperly designed of irrigation and drainage system	ESS3	Low risk	1.1.1. Setting up the basis for financing and implementing EbA	Ensure an adequate site-specific climate diagnosis and territorial intervention plan including standard measures to	GIZ- Team leader component 1 & Profonanpe FMU	Y: 1-5	Included in Activity 1.1.1 (hiring CSOs, local promoters etc.) (see #1)	Local initiatives planned considering environmental risks including list of standard measures to avoid pollution.

	could affect downstream users and have negative impacts on water, energy, waste and pollution prevention.			measures and Climate Resilient Value Chains 1.1.2 Financing and implementing of EbA measures and Climate Resilient Value Chains 1.1.3 Technical Assistance for implementing EbA measures and Climate Resilient Value Chains at local landscape level	avoid pollution. Conduct pre-screening based on ESS Screening List developed by Profonanpe (see #1). Include modules in trainings regarding environmental risks.			1.1.2 CSOs technical assistance (see #1) and activity 1.1.3 Technical assistance for EbA and CRVC implementation 364,774 GIZ- Team leader component 1 & 2 262,656	Training modules regarding environmental risks developed.
5	Potential risks on Gender imbalance and violence, accidents and hazards during construction and land work could occur and conflicts over ownership and the wrong selection of Local initiative site	ESS4	Low risk	1.1.2 Financing and implementing of EbA measures and Climate Resilient Value Chains	Implement Gender Action Plan and adequate gender sensitive GRM considering SEAH. Engage adequately with the Indigenous People and Local Communities.	All EEs with their Gender specialist amongst others, see Gender Action Plan column responsibilities	Y: 1-6	Included in Activity 1.1.2. budget GRM 25,00 1 GIZ- M&E specialist 849,870 1 GIZ- Safeguard and Gender advisor (see #1)	Reporting on GAP implementation. Gender sensitive GRM considering SEAH established. Local initiative specific safety protocols implemented. Reporting on Indigenous Peoples

	due to the selection and implementation of Local initiatives .				Development of Local initiative safety protocols.			1 Profonanpe-Social and Gender specialist 197,813 FMU including support in developing safety protocol/plan and technical assistance during implementation (see #2) See Gender Action Plan column cost estimation in EUR	and Community Engagement Plan implementation Local
6	Potential conflict over ownership and land tenure could arise from Local initiative implementation. Poor selection of land could invalidate the intended investment.	ESS5	Medium risk	1.1.1 Setting up the basis for financing and implementing EbA measures and Climate Resilient Value Chains 1.1.2 Financing and implementing of EbA measures and Climate Resilient Value Chains	Develop free, prior and informed consent (FPIC) to ensure consent within communities before participating in the project (as described in activity 1.1.1.) Confirm ownership through mapping of the community, reviewing individual property and validating with community and interested persons (as described in activity 1.1.1.) Adequate review and eligibility	GIZ- Team leader component 1 and risk manager Profonanpe FMU	Y: 1-5	Included in Activity 1.1.1 (hiring CSOs, local promoters) (see #4), 1 IdM- Participatory process specialist 29,291 Profonanpe staff costs (see #3) Dissemination bulletin 17,974	Community Agreement signed confirming the FPIC to participate in the project. Screening lists confirming ownership. Approval from the respective decision-making body of the IPLC with their different forms of organization in the process of formulation, which agrees to participate in the Puna Facility under an approved intervention plan,

					documentation by Profonanpe during evaluation of Local initiative to confirm ownership over indicated land where EbA measure are planned to be implemented. Disclose information according to the disclosure procedure of Profonanpe. Develop a Risk Management Plan by a risk manager				and clearly establishes the commitments of the participating members and agree to work together with the CSO. Documentation of disclosed information on land tenure by Profonanpe. Risk Manager hired and Risk Management Plan developed.
7	Risk of unexpected ecosystem degradation due to oil and gas leakage from vehicle, attendance overrun, overgrazing, introduction of alien species among others could occur. Potentially risks of increased frequentation, degradation of existing system/balance and pests and diseases.	ESS6	Low risk	1.1.1 Setting up the basis for financing and implementing EbA measures and Climate Resilient Value Chains 1.1.2 Financing and implementing of EbA measures and Climate Resilient Value Chains	<i>Please refer to measure 4</i>	<i>Please refer to measure 4</i>	<i>Please refer to measure 4</i>	<i>Please refer to measure 4</i>	<i>Please refer to measure 4</i>

8	Insufficient engagement and consultation of Indigenous Peoples and Local Communities could generate conflicts between direct beneficiaries of the Puna Facility and others who are not benefiting from the Facility during project implementation.	ESS7	Low risk	Cross-cutting	Implement Indigenous People and Local Communities Engagement Plan (IPLCEP, Annex 6c).	All EEs	Y: 1-6	Included in Activity 1.1.1. budget (see #4) Activity 1.1.2. budget 39,429,820 GIZ- Safeguard and Gender advisor (see #5) Profonanpe- Environmental Safeguard specialists (see #1) IdM- Participatory process specialist (see #6)	Reports on implementation of IPLCEP.
9	Potential risk of unexpected finding of some archaeological rest and artefact, possible unintended negative impacts on cultural heritage.	ESS8	Low risk	1.1.2 Financing and implementing of EbA measures and climate resilient value chains	Ensure by Profonanpe and MIDAGRI during implementation of Local initiative and public investment projects that unexpected findings are reported to MINCUL and local stakeholders.	Profonanpe- Environmental Safeguard specialist and MIDAGRI	Y: 2-5	Included in Activity 1.1.2. budget (see #8) Profonanpe- Environmental Safeguard specialist (see #1)	Documentation of (if necessary) of the following of Profonanpe's chance find procedure.
10	Risk of high expectations amongst Local initiative beneficiaries could occur due to improper	ESS9	Medium risk	1.1.1. Setting up the basis for financing and implementing EbA	Adequately following and implementation by all EEs of the Stakeholder Engagement Plan (as part of Annex 7)	All EEs	Y: 1-5	GIZ- Safeguard and Gender advisor (see #5)	Reporting on SEP.

	development and organization of stakeholder engagement. Potential risk of insufficient stakeholder engagement and rise of high expectations amongst Local initiative beneficiaries.			measures and Climate Resilient Value Chains 1.1.2 Financing and implementing of EbA measures and Climate Resilient Value Chains	developed for the proposed project.			Safeguard specialists (see #1) 1 GIZ-Communication advisor (see #1) Profonanpe - Communication and knowledge management Assistant 165,225 M&E system (See #5) GIZ- M&E specialist (see #5) Profonanpe-Monitoring specialist (see #1)	
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