INTEGRATED SAFEGUARDS DATA SHEET
CONCEPT STAGE

Date ISDS Prepared/Updated: 20-Jul-2012

I. BASIC INFORMATION

A. Basic Project Data

<table>
<thead>
<tr>
<th>Country</th>
<th>Peru</th>
<th>Project ID:</th>
<th>P131029</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Name:</td>
<td>PE Social Inclusion TAL (P131029)</td>
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<tr>
<td>Task Team Leader:</td>
<td>Alessandra Marini</td>
<td></td>
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<tr>
<td>Estimated Appraisal Date:</td>
<td>17-Sep-2012</td>
<td>Estimated Board Date:</td>
<td>15-Nov-2012</td>
</tr>
<tr>
<td>Managing Unit:</td>
<td>LCSHS-DPT</td>
<td>Lending Instrument:</td>
<td>Technical Assistance Loan</td>
</tr>
<tr>
<td>Sector:</td>
<td>Other social services (100%)</td>
<td></td>
<td></td>
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<tr>
<td>Theme:</td>
<td>Nutrition and food security (20%), Social safety nets (50%), Poverty strategy, analysis and monitoring (20%), Other human development (10%)</td>
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<td></td>
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</table>

Financing (In USD Million)

<table>
<thead>
<tr>
<th>Financing Source</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Borrower</td>
<td>0.00</td>
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<tr>
<td>International Bank for Reconstruction and Development</td>
<td>10.00</td>
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<tr>
<td>Total</td>
<td>10.00</td>
</tr>
</tbody>
</table>

Environmental Category: C - Not Required

Is this a Repeater project? No

B. Project Objectives

The development objective of the proposed project is to improve the effectiveness of the social inclusion policy in Peru. This will be achieved by supporting the necessary reforms to strengthen the management capacity of MIDIS to oversee the social inclusion policy and effectively coordinate and enhance the performance of the five MIDIS programs. The operation will finance technical assistance needed to support the policy reforms that will be included/supported by the SI DPL II to be prepared in 2014. The SI DPL II would be a follow-on operation to the SI DPL I that will be presented to the Board with this proposed project. The outcome indicators proposed for the TAL are:

a. Mechanisms of monitoring and evaluation are incorporated under SINADIS;
b. Families eligible of more than one MIDIS program are beneficiaries of those programs;
c. MIDIS programs are regularly using quality performance standards with respect to service
C. Project Description

The project will support four key components and areas of work of the new Ministry of Development and Social Inclusion:

Component 1: Improving the Quality of MIDIS Programs. This component will finance technical assistance to design and pilot a series of activities aimed at improving the quality control of programs. It will continue supporting Policy Area 2 of the Second Social Inclusion DPL on Enhancing the inclusiveness and effectiveness of key social programs. Specifically, this component will include:

Sub-component 1.1: Development of Users’ Participation and Satisfaction Mechanisms. This sub-component would finance technical assistance for the development of user satisfaction mechanisms, such as scorecards, to collect users’ feedback that systematically informs the quality control system of the programs. These mechanisms will support dissemination of service quality standards to users and then collect their informed-feedback based on the perception of their experience. They would also include the establishment of a complaints collection and resolution system. This subcomponent would also finance communication mechanisms to enhance the involvement and participation of the feeding programs staff in the fulfillment of the program’s new goals and quality standards.

Sub-component 1.2: Strengthening Payment system. This sub-component would support the design of a new payment system for JUNTOS and one for Pension 65 that promote the use of financial instruments in areas where they are available and the identification of innovative solutions in other areas (including the design and implementation of pilots). It will also support the implementation of a new differentiated payment system at national level for JUNTOS, based on the results of an ongoing pilot.

Sub-component 1.3: Overall elderly income protection policy. Development of a strategic approach, including other government agencies in the discussion, towards solutions for middle aged individuals.

Component 2: Strengthening knowledge and information management of MIDIS. This component will finance technical assistance to strengthen the information system that would allow the collection, processing and production of multi-sectoral information to support the decision making process of actors participating in the strategies within SINADIS. This component will continue supporting the three Policy Areas of the second Social Inclusion DPL with special emphasis on Policy Area 3 (Social Inclusion Policy Reform by MIDIS—approaches and systems). The component will include:

Subcomponent 2.1. Developing an Information Strategy for Social Policy – This sub-component would finance technical assistance to determine availability, reliability and frequency of data to facilitate effective decision-making. Based on rapid diagnostics of supply and demand of information, a strategy will be developed to address the information gaps identified. The strategy will focus both on the consolidation of information related to MIDIS programs as well as social policy through SINADIS. The strategy will be supplemented with technical assistance to improve the quality of administrative records, which proves critical to the functioning of an M&E system.

Subcomponent 2.2. Support to MIDIS Targeting System and Beneficiary Registry – This sub-component would support:
A. Strengthening of SISFOH targeting system, including: evaluation of robustness of index and its adequacy for social programs; testing alternatives; development of auditing protocols for quality standard, security and confidentiality; implementation of general household census in 9 regions in 2013; implementation of an institutional strengthening strategy for the 406 districts without local targeting units (Unidades Locales de Focalización);

B. Unique beneficiary registry: setting the basis for the development and timely update of the unique beneficiary registry for MIDIS programs.

Subcomponent 2.3. SINADIS Integrated Information Platform – This sub-component would finance the design of an integrated multi-sectoral information platform for decision-making under the framework of SINADIS. It would integrate specific interfaces of the main planning and budgeting administrative systems in the Peruvian state (such as SIAF, SIGA, and SNIP) as well as other relevant information systems (such as the MIDIS M&E system, Unique Beneficiary Registry, cadastral systems, INEI Open data initiative and other social programs’ systems). The design of the platform would be preceded by a rapid assessment of the functioning and main bottlenecks of the planning, budgeting and implementation systems (SIAF and SIGA). The platform would require the development of information technology that (in real-time) collects, articulates and analyzes information on planning, budgeting and implementation of social policies operating under SINADIS.

Subcomponent 2.4. Strengthening the Management Information Systems (MIS) of the feeding programs, JUNTOS and Pension 65:

A. The feeding programs’ MIS – This sub-component would assess and redesign the feeding programs’ management information system with the objective of improving the quality of information and the establishment of transparency mechanisms with special focus on the program’s food purchasing-delivery chain. To this end, the assessment will identify obstacles in the delivery of timely, relevant and reliable reports to inform quality control and decision making processes. It will also identify and propose mechanisms to improve transparency and the credibility of the program;

B. Pension 65’s MIS – This sub-component would finance the development of an information system for Pension 65 to operate in coordination with the MIDIS systems;

C. JUNTOS’ MIS – This sub-component would finance technical assistance for the development of a methodology to articulate JUNTOS’ information with data from health and education sectors. The development of this technological interface would support the verification of compliance with co-responsibilities.

Component 3: Strengthening the result orientation and monitoring and evaluation capacity of MIDIS. This component would provide support to the development and implementation of the planned National System of Monitoring and Evaluation for Social Policy, known as Evidencia, which would be a key component of the SINADIS Integrated Information Platform. The system, led by MIDIS, would seek to improve the performance of social programs and policies by providing opportune information and rigorous evidence, capacity building on M&E among SINADIS stakeholders, and greater transparency to promote effective public management and decision-making. This component will continue supporting the three Policy Areas of the second Social Inclusion DPL with special emphasis on Policy Area 3 (Social Inclusion Policy Reform by MIDIS—approaches and systems). The project will support:

Sub-component 3.1. Monitoring of Target Groups and Programs: This sub-component will finance the conceptual and operational development of tools and instruments to collect data and analyze
indicators on key MIDIS programs and social policies operating within SINADIS, and facilitate
decision-making and transparency. Specifically, it would support:
A. Monitoring of target populations: Monitoring systems will be improved in order to follow the
characteristics and responses of actual and potential beneficiaries in different stages of programs’
implementation (registration, participation and performance). Technical assistance will focus on the
development of methodological protocols and operational guidelines to strengthen the monitoring of
these stages to improve implementation, management and, as a consequence increase the
effectiveness of MIDIS.
B. Monitoring dashboard will be developed as a user-friendly instrument to allow for the collection
and manipulation of data related to indicators of key social policies. The dashboard will focus
initially on ministerial and regional interventions operating within the SINADIS framework, which
follow a results-based budgeting approach. This will involve both the conceptual and tecnologival
development of the tool, which builds on and scales up the dashboard established for MIDIS
programs developed under the NLTA/IDF. In addition to the instrument itself, the technical
assistance will support the mechanisms for analysis and use of the information produced.
C. Creation of an “Elderly Observatory” to promote a better understanding of needs and
characteristics of the elderly in Peru.
D. Mapping for Social Policy Results will be reinforced and improved to generate interactive maps
and other on-line tools to facilitate the decision-making processes for the social policy through a
geographical approach based on the mapping for results approach and the design and implementation
of a pilot for "On Track" initiative.

Sub-component 3.2. Evaluation of Social Policy and Programs: MIDIS seeks to institutionalize a
range of evaluation methodologies and guidelines, taking into account the call to respond to different
performance information needs of a variety of stakeholders, as well as the need to generate useful
and feasible evidence-based recommendations. In addition, in order to ensure the implementation of
the recommendations, adequate incentives and mechanisms will be developed to facilitate the
application of evidence produced through M&E. Technical assistance will support the following
activities:
A. Evaluation Planning and Use: As part of its steering role, MIDIS will strengthen the institutional
mechanisms for the definition of an agenda of evaluation among the interventions operating within
the framework of SINADIS, as well as the design and implementation of mechanisms to promote
greater use and application of evaluation findings.
B. Methodological Tools and Protocols for Implementation of Evaluation: As part of its
implementing role, MIDIS will establish technical tools to facilitate the quality, consistency and
regularity of evaluations. This will include the development and dissemination of standards
regarding process, results and impact evaluations, in addition to systematic reviews and meta-
analysis. Also, it includes the design and dissemination of methodological tools to formulate
recommendations based on evidence and protocols to use the evidence in the decision-making
processes for social policy.
C. Impact Evaluation of Coordination among MIDIS Programs: In order to assess the effects of the
coordinating and convening role of MIDIS, large impact evaluations will be conducted to determine
the impacts on beneficiaries of multi-MIDIS programs in a single territory.
D. Process Evaluation of the effective coordination of Social Policy – This sub-component would
finance the evaluation of the articulated planning, budgeting and implementation processes of social
policies operating within the framework of SINADIS.

Component 4: Strengthening human resource capacity of MIDIS programs and social policy
stakeholders. This component will finance the development and implementation of a plan of
continuous capacity building and training for the technical and professional teams of the institutions participating in the MIDIS multi-sectoral strategies. The component would also support the reorganization of human resources in JUNTOS and the feeding programs, promoting coordination between different programs at local level. This component will continue supporting the three Policy Areas of the second DPL with special emphasis on Policy Area 3 (Social Inclusion Policy Reform by MIDIS- approaches and systems). Specifically, it will include three sub-components:

Sub-component 4.1 – Development of Targeted Continuous Training – This subcomponent would finance the development of capacity-building programs for MIDIS staff and sub-national government technical teams leading social policy planning, budgeting and implementation at the local level. Technical assistance will support:

A. Strengthening capacity of MIDIS staff: This tool would fill the gap with respect to the educational and training needs of MIDIS staff, by designing a modular curriculum to cater the training needs of different actors, making a platform for education and training available and accessible to staff (through distance, classroom, and on-line learning), and organize a common training program for all MIDIS staff.

B. Strengthening regional and local government capacity: Design a program (plan and methodology) to identify capacity-building needs and conduct continuous training for the management of social policies and programs. The program would be an integral part of the implementation of SINADIS and its objective of strengthening the management capacity of technical teams in regional and local governments of social policies and programs.

Sub-component 4.2 – New Role for the JUNTOS’ Promoters – This subcomponent would finance the technical assistance needed for the development of a component of family counseling, which includes redefining the role of the local promoter of the program (gestor local) who would play a key role in connecting families with local opportunities of benefits and services.

Sub-component 4.3 – Capacity-building and Certification Program of Professionals for Local Government Management Strengthening – This sub-component would support the design of the program, continuous course modules and management of the certification and registry of qualified local professionals for regional and local government coaching. The program would be an integral part of the implementation of SINADIS and its objective of strengthening the management capacity in regional and local governments of social policies and programs. This would operate via the creation of a private network of MIDIS-certified local professionals that could be hired by sub-national governments as consultants (in a mixed arrangement) to provide coaching and personalized technical assistance on case-specific management issues. A pre-selection process would take place through a national evaluation (conducted by a private party), and selected professionals would qualify to the course conducted by qualified public and private universities.

**D. Project location and salient physical characteristics relevant to the safeguard analysis (if known)**

The project will be implemented nationwide, with the support of a technical assistance loan.

**E. Borrowers Institutional Capacity for Safeguard Policies**

This project triggers the OP/BP 4.10, only. Peru has now approved a consultation law and its bylaws. The law provides an appropriate legal framework for prior and informed consultations to Indigenous Peoples. The Vice Ministry of Intercultural Affairs is responsible for supervising the enforcement of the law and, in the case of this operation, the Ministry of Social Inclusion will be responsible for carrying out the consultations and for the approval and implementation of the Indigenous Peoples
Plan. To this end the Ministry has designated a social safeguard coordinator under the General Bureau of Cooperation and Participation. The TAL will assist MIDIS to enhance its current capacity to assess and consider the intercultural dimensions affecting social inclusion of the social programs and will include a set of support actions through Components 3 and 4.

F. Environmental and Social Safeguards Specialists on the Team

II. SAFEGUARD POLICIES THAT MIGHT APPLY

<table>
<thead>
<tr>
<th>Safeguard Policies</th>
<th>Triggered?</th>
<th>Explanation (Optional)</th>
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<tbody>
<tr>
<td>Environmental Assessment OP/BP 4.01</td>
<td>No</td>
<td>The project activities do not include any physical investments or acquisitions that could lead to adverse impacts on the environment.</td>
</tr>
<tr>
<td>Natural Habitats OP/BP 4.04</td>
<td>No</td>
<td>The project activities do not include any physical investments or acquisitions that could lead to adverse impacts on natural habitats.</td>
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<tr>
<td>Forests OP/BP 4.36</td>
<td>No</td>
<td>The project activities do not include any physical investments or acquisitions that could lead to adverse impacts on forests.</td>
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<tr>
<td>Pest Management OP 4.09</td>
<td>No</td>
<td>The project activities do not include any activity that could result in the need for procurement of pesticides.</td>
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<tr>
<td>Physical Cultural Resources OP/BP 4.11</td>
<td>No</td>
<td>The project activities do not include any physical investments or acquisitions that could lead to adverse impacts on physical cultural resources.</td>
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<tr>
<td>Indigenous Peoples OP/BP 4.10</td>
<td>Yes</td>
<td>The proposed operation is expected to trigger the Bank's Indigenous Peoples Policy (OP 4.10). Although it is not likely that the project will have negative impacts on Indigenous households, its success will, largely, depend on how well the project manages to meaningfully involve and empower Indigenous communities, and adopt the use of intercultural formats in communications with the users and the delivery of services by the programs under MIDIS management and supported by the operation. With Bank support, the government will: (A) conduct a social assessment that would include the following activities: (i) a review and analysis of existing literature, relevant analytical work, and evaluations from the current social protection programs as they relate to impacts and benefits of these programs for Indigenous peoples, (ii) an institutional assessment of the new Ministry's proposed structure to ensure</td>
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inclusion and adaptations for Indigenous peoples, (iii) a review of Peru's relevant legal framework and requirements both for the IP Strategy (see below) and for the implementation of the social protection programs, and (iv) a participatory process with Indigenous leaders, beneficiaries, and organizations, as appropriate, to receive feedback and recommendations to improve program design. (B) The elaboration of an Indigenous Peoples Strategy that would outline actions, budget and timeframes (integrated to the extent possible within the activities of the TAL) to implement the key recommendations from the social assessment and participatory processes specifically on: institutional structure, strengthening, program design and adaptations. (C) A validation meeting (similar to what we would do with a Framework) with a group of representatives, preferably the same people consulted during the social assessment, to present and consult the proposed IP Strategy. And (D) A revised Strategy, incorporating the feedback from the validation meeting, disclosed prior to appraisal. During implementation the TAL would implement the recommendation of the IP Strategy with close Bank safeguards implementation support. To the extent possible, the TAL should incorporate indicators to measure the Strategy's implementation and include the Strategy's activities within the annual POAs.

The Bank team is also supporting MIDIS management in the design of a strategic framework for the ministry to improve the results of social programs for indigenous communities and households. The PAD will include a summary of the Indigenous Peoples Strategy, and a write up describing main findings of the social assessment and the results of the consultations.

<table>
<thead>
<tr>
<th>Involuntary Resettlement OP/BP 4.12</th>
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<tr>
<td>The project activities do not require any acquisition of land and will not result in any restriction in access to protected areas.</td>
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<thead>
<tr>
<th>Safety of Dams OP/BP 4.37</th>
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<tbody>
<tr>
<td>The project activities do not lead to any intervention related to dams.</td>
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III. SAFEGUARD PREPARATION PLAN

A. Tentative target date for preparing the PAD Stage ISDS: 07-Sep-2012

B. Time frame for launching and completing the safeguard-related studies that may be needed.
   The specific studies and their timing¹ should be specified in the PAD-stage ISDS:
   The specific studies will be completed by September 2012.

IV. APPROVALS

<table>
<thead>
<tr>
<th>Approvals</th>
<th>Name</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task Team Leader:</td>
<td>Name: Alessandra Marini</td>
<td></td>
</tr>
<tr>
<td>Approved By:</td>
<td>Regional Safeguards Coordinator:</td>
<td>Name: Francis V. Fragano (RSA)</td>
</tr>
<tr>
<td></td>
<td>Sector Manager:</td>
<td>Name: Mansoora Rashid (SM)</td>
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¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.