

ESS10 - Stakeholder Engagement Plan



Stakeholder Engagement Plan

11 May 2023

CEPF Grant 113840

The Peregrine Fund

A Conservation Action Plan and Implementation for the Critically Endangered Ridgway's Hawk in the Dominican Republic

Dominican Republic

Grant Summary

- 1. Grantee organization:** The Peregrine Fund
- 2. Grant title:** A Conservation Action Plan and Implementation for the Critically Endangered Ridgway's Hawk in the Dominican Republic
- 3. Grant number:** 113840
- 4. Grant amount (US dollars):** \$159,590.76
- 5. Proposed dates of grant:** 1 August 2023 – 31 January 2025
- 6. Countries or territories where sub-project will be undertaken:** Dominican Republic
- 7. Date of preparation of this document:** 11 May 2023

8. Introduction:

Our project is focused on recovering the Critically Endangered Ridgway's Hawk from the brink of extinction. This hawk is endemic to the island of Hispaniola and occurs within CEPF Priority Site DOM-20 Parque Nacional Los Haitises. Over 20 years ago, biologists from The Peregrine Fund made their first visit to the Dominican Republic to assess the status of the Ridgway's Hawk population on Hispaniola. After thorough surveys across the Dominican Republic, we found only one extant population located in DOM-20 Parque Nacional Los Haitises with approximately 250-300 individuals. The small and isolated nature of this population put it at great risk of extinction. Indeed, without management actions, the species was predicted to go extinct by 2031.

In 2008, we began intensive conservation activities on the species, establishing three main goals:

- Identify and address the main threats to the Ridgway's Hawk;
- Increase the species' abundance and expand its distribution;
- Promote local interest, capacity, and ownership of Ridgway's Hawk conservation and management for long-term sustainability.

Over the last decade, our applied conservation work has led to a doubling of the species' population and a large range expansion. This has provided a lot of positive momentum and optimism on this project. However, significant work remains to ensure the recovery of this species.

We are at a turning point in this project. Over the last decade, we have identified the primary drivers of historic declines (parasitic nest flies and human persecution), developed highly effective strategies for addressing these threats (nest treatment and human outreach), honed methods for reestablishing hawk populations in new sites, and developed significant local interest and capacity for Ridgway's Hawk management. Successful recovery of this species is within sight, but we must plan carefully.

In the next step of this project, we will prepare and implement the following components:

Component 1: Prepare a Ten-year Species Conservation Action Plan for the Ridgway's Hawk in

Los Haitises National Park

We will prepare and implement a Species Conservation Action Plan for this Critically Endangered raptor (Strategic Direction 3.1). We will organize a series of Adaptive Management meetings with a range of relevant partners, including local community organizations, Dominican Republic government branches and institutions (Ministry of the Environment, Ministry of Education, Ministry of Tourism), businesses (e.g., Bolitos Candín, Club Med), our partners (Fundación Grupo Puntacana, Fundación Propagas, National Zoo, Action pour la Sauvegarde de l'Ecologie en Haïti), and other nonprofits (e.g., Fundación Cooperativa Vega Real) to shape a plan for the successful recovery of the Ridgway's Hawk in the next 10 years of this project. These meetings will follow The International Union for the Conservation of Nature's (IUCN) Guidelines for Species Conservation Planning and the Open Standards for Conservation. As part of this management plan, we will review potential climate impacts on the species and develop a strategy for mitigating them (Strategic Direction 3.2). Going forward, we will meet each year with partners to revisit and adapt this plan as necessary. A key goal of this plan will be to increase ownership and leadership of the management of Ridgway's Hawks by Dominican and Haitian biologists, organizations, and governments. Following completion of the action plan, we will continue identified priority activities to implement the action plan.

Component 2: Monitor and manage 125 -150 pairs of Ridgway's Hawks in Los Haitises National Park

We will continue to monitor and manage the growing population in DOM-20 Parque Nacional Los Haitises. These efforts enable us to continue augmenting this population, while also sourcing young hawks for release in newly established subpopulations. To do so, 16 Dominican staff members and four volunteers (divided into four teams working in four distinct areas) search for breeding pairs and nests, conduct behavioral observations, treat nests to prevent fly infestations, and band young hawks to monitor dispersal and survival. The team collects data on the number of young per nest, sex ratios, and hatching ages, so that individual nestlings can be selected for release at newly established subpopulations. The species is still Critically Endangered and threatened with extinction, and we cannot stop management while we develop the conservation action plan.

Component 3: Environmental outreach and capacity development targeting 10 communities in the buffer zone of Los Haitises National Park

Human persecution is one of the main threats to the Ridgway's Hawk, mainly caused by human fear that hawks prey on chickens. Additionally, human disturbance during the breeding season caused 61% (n=51) of all known nest failures between 2005 and 2009. Overall, human persecution has a drastic impact on the species and has played a large role in why it is so endangered.

Component 4: CEPF project management and monitoring

This component involves managing and monitoring the project. Activities will include obtaining permission from the Dominican Ministry of the Environment and from communities in and around Los Haitises, implementing ESS instruments and grievance mechanism, preparing photos and reports, monitoring systems established and implemented to measure project impacts in accordance with CEPF indicators and project logical framework, preparing sub-grantee agreement with Fondo Peregrino, obtaining signatures from Fondo Peregrino, and preparing tracking tools.

Outreach, education, and conflict resolution

To address this threat, we conduct extensive outreach and education campaigns. We have reached an average of 3,000 new individuals each year over the past four years through direct community

education programs. Since 2013, when we began our education program, we have directly reached over 20,000 individuals. Vigilance over nesting territories and developing good relationships with landowners and local community members has reduced human persecution of hawks. After receiving complaints from locals that hawks eat young chickens, we began providing chicken coops to locals free of charge. Coops drastically reduce the risk of predation from hawks, as well as from a host of other predators, including cats, mongooses, rats, and snakes. To date, we have distributed more than 300 chicken coops to local households. This has mitigated human-wildlife conflict and helped build trust and support for Ridgway's Hawk conservation among locals.

Through formal and informal surveys, we understand that people target Ridgway's Hawks and other raptors: 1) because they will prey on domestic chickens, 2) to hold in captivity for personal "enjoyment" or to sell, 3) out of curiosity and, more rarely, 4) for human consumption. This information has guided our methodologies, enabling us to target specific knowledge gaps or concerns and to address issues in a way that is effective and culturally appropriate. General environmental education efforts are designed to provide the general public with factual and relevant information about the benefits of raptors to their farms, homes, and ecosystems as a whole, particularly addressing ways to reduce direct threats: human persecution, capture of animals for the pet trade, removal of young from nests, and persecution of hawk prey (i.e. snakes).

Specific environmental education activities include door-to-door visits in which we talk one-on-one with individuals or families about the program, and allow them to ask questions and express concerns about the hawk, presentations in schools and communities, training workshops, and celebration of Ridgway's Hawk Day with a number of activities including nature sketching, painting, and games.

Promoting local capacity and ownership

In this grant period, we plan to provide additional training and collaboration through workshops with CSOs in the Dominican Republic. We will engage members of the Dominican Association of Biology Students, Grupo Jaragua, Fundacion Pronatura, Fundación José Delio Guzmán Inc., Consejo Interinstitucional para el Desarrollo de Constanza, Inc., and members from the communities in and around DOM-20 Parque Nacional Los Haitises. We also will offer this training to field technicians, biologists, educators, and other staff working for various government and private organizations, including the Ministry of the Environment, Ministry of Education, the National Zoo, Instituto Tecnológico de Santo Domingo (INTEC), the National Botanical Gardens, and Ministry of Tourism as part of our long-term Conservation Action Plan for the species.

Continuing direct capacity building for our Dominican team members and local volunteers will occur in Dom-20 Parque Nacional Los Haitises. Staff and volunteers will be hone their skills in key components of field biology, which will serve them during their time on the project, as well as for future conservation efforts, including safe tree climbing, use of GPS and compass, nest searching, bird identification, bird banding, nest treatment, data collection and entry, organizational and leadership skills, and environmental education and public speaking techniques.

Pilot marketing campaign

Due to our educational efforts, we have observed a positive change in people's attitudes towards Ridgway's Hawks and a reduction in human persecution in areas where we have been conducting educational programs. As the Ridgway's Hawk population continues to increase in abundance and distribution, hawks will begin to disperse into new areas. Thus, the aim of our education program

is to inspire awareness and interest in conservation prior to hawks showing up in a particular region, thus proactively mitigating human persecution.

In this project period, we plan to execute a pilot marketing campaign in and around DOM-20 Parque Nacional Los Haitises. To do so, we will conduct baseline surveys with people in mostly rural settings, in communities within or adjacent to the park that have the most impact on the natural resources found there, to gain a better understanding of baseline human awareness and perceptions of Ridgway's Hawk and general raptor conservation in the this area. We will stratify surveys by demographics to ensure that we have a representative sample by gender and age. We will then design campaign materials (slogans/art) that will be tested with focus groups to determine which slogan/art will be the most effective in inspiring conservation actions in the community. Once the art/slogan has been chosen, we will begin the campaign to include: radio messages, murals, television spots, social media, jingles, song and art contests, the creation of a mascot, and more. After the start of the pilot campaign, we will conduct mid-point surveys to determine changes in knowledge, attitudes, and behaviors related to the hawk, and evaluate the effectiveness of the campaign and make any changes necessary to our strategies. At the end of the campaign, we will conduct post-surveys to monitor the results of our efforts. Importantly, we have already obtained Internal Review Board ethics approval from Instituto Tecnológico de Santo Domingo to conduct these surveys. These surveys will position us to launch a nation-wide social marketing campaign after the Species Conservation Action Plan is complete.

9. Summary of previous stakeholder engagement activities:

We have signed a Memorandum of Understanding with three local institutions which are our main project partners: Fundación Grupo Puntacana, Fundación Propagas, and the National Zoo (ZooDom). This MOU establishes a partnership between these institutions and increases each institution's ability to conserve the Ridgway's Hawk throughout the Dominican Republic, using each one's strengths and skills.

All our work is carried out under a research permit provided by the Ministry of the Environment and Natural Resources. Each year, we provide a written report summarizing our work, accomplishments, any setbacks, and future plans for the project.

We have an agreement with Club Med Dominican Republic (Miches and Punta Cana) to provide them with content for the resorts' guests and staff to enhance the communication and educational opportunities for them in relation to the Ridgway's Hawks (including presentations, workshops, activities, and other educational programs).

We have an agreement with Bolitos Candin, a local company that sells locally grown chocolates and coffee. They have a coffee set that features a Ridgway's Hawk mug and a small card with information about the species and its conservation. This product helps to disseminate information about the Ridgway's Hawk throughout the island.

10. Project stakeholders:

Table 10.1: Stakeholders: Project-affected parties

Stakeholder group	Involvement in project	Interest (high / med / low)	Influence (high / med / low)	Component under which will be engaged
Fondo Peregrino - República Dominicana	Sub-grantee	High	High	All components
Fundación Grupo Puntacana	Project partners	High	Medium	Components 1 and 3
Fundación Propagas	Project partners	High	Medium	Components 1 and 3
ZooDom	Project partners	High	Medium	Components 1 and 3
Action pour la Sauvegarde de l'Ecologie en Haïti	Project partners	High	Medium	All components
Ministry of the Environment and Natural Resources	Government branch responsible for management of our project location: DOM-20 Parque Nacional Los Haitises	Medium	High	All components
Local communities	Communities surrounding Los Haitises National Park affected by project activities	High	Medium	Components 2 and 3

Vulnerable groups

This section summarizes the main types of vulnerable groups that may be present at the sub-project site. This is not intended as an exclusive list, as there may be additional groups that are not identified here.

Women

Poverty has a gendered dimension in the Caribbean islands: there is a greater prevalence of poverty among women than men. Women are heavily involved in productive sectors that depend on natural resources, such as agriculture and fisheries. However, there are structural inequalities in Caribbean societies that influence women's access to resources, including natural and productive resources. Climate change is expected to worsen such environmental problems as deforestation, water scarcity and land degradation, and will have differentiated impacts on women and men in the

Caribbean.

Although women's educational performance tends to be higher than that of men, women are under-represented in large-scale enterprises, leadership and decision-making, and targeted growth areas; they tend to be concentrated in lower level and lower paying jobs. This is also true for the civil society sector as a whole. In the context of the project, women are at risk of being left out of consultation processes, in which male presence is traditionally predominant. Hence, the sub-project will need to ensure that both men's and women's voices are heard in consultations. This may require separate consultations to be held for women. The sub-project will also need to approach its implementation with a gender lens.

Members of women-headed households

Women head nearly half of Caribbean households but are disadvantaged in the region's labor markets. Female participation in the labor force is 59 percent, compared to 79 percent for men. This has implications for women-headed households, which are more likely to be poor than men-headed households. There are some exceptions, however. For instance, the incidence of poverty among women-headed households in Saint Lucia (21%) is almost the same as among men-headed households (22%). In rural communities, women-headed households may be particularly vulnerable, due to the structural inequalities in women's access to resources discussed above. Again, the sub-project will need to ensure that women-headed households are represented and have their voice heard in consultations that influence the design of sub-project activities and the distribution of benefits, to ensure that they are not overlooked or excluded from project benefits.

COVID-19 has had a social and economic impact and adds a dimension to the social context that was not present when the Ecosystem Profile was developed. The full extent of the impact of COVID-19 is unknown but across the region there has been economic contraction. There are reports of worsening gender inequalities in the labor market, deterioration of diets and an increase in hunger, particularly in female-headed households, and a greater incidence of gender-based violence.

Unemployed young people

Unemployed young people are another vulnerable group within Caribbean society. The vulnerability of Caribbean youth is linked to educational underachievement, high unemployment rates, exposure to violence, and exposure to disease. Youth make up between 28 and 50 percent of all unemployed people; young women are more likely to be unemployed than young men. Youth unemployment rates range between 18 and 47 percent in the project countries; the unemployment rate for young people tends to be two to three times that of adults. Beyond limited employment opportunities, young men are disproportionately affected by crime in the Caribbean: they are the main victims and perpetrators. Caribbean youth are also disproportionately vulnerable to HIV infection. In the context of the sub-project, unemployed young people may have less opportunity to participate in project activities and/or access livelihood or employment opportunities owing to consultation processes being dominated by established elites, who tend to belong to older generations. The project will need to approach engagement in such a way that opportunities are created for unemployed young people to participate in conservation activities. This could include both young people in rural communities in and around the priority KBAs, as well as urban youth who could be employed by CSOs or engaged by them through training, internships or other means.

Elderly people

There is a long-term trend of population aging in the Caribbean Islands. Thanks to improvements in

socioeconomic conditions and global medical advances, Caribbean people are living longer than before. People aged 60 and over accounted for 10% of the Caribbean population in 2000; this proportion is anticipated to increase to 26% by 2050. In common with many parts of the world, elderly people are particularly vulnerable to social exclusion.

LGBTI persons

LGBTI persons are particularly vulnerable in the Caribbean. Because they are more likely to suffer discrimination, they are at enhanced risk of social exclusion with regard to project activities and benefits. None of the project countries have anti-discrimination laws concerning sexual orientation, and, in four countries, sexual activity between persons of the same sex is criminalized. There is also the possibility of high levels of homophobic and transphobic violence. These factors raise issues about how to identify LGBTI persons, without placing them at risk of discrimination, prosecution or violence. Stakeholder mapping will be done with sensitivity, and to implement measures to ensure the confidentiality of personally identifiable information.

Persons with disabilities

An estimated 15 percent of the population of the project countries is living with disabilities. Persons with disabilities are disproportionately vulnerable to the effects of environmental degradation and climate change. For instance, they are less able to seek shelter from extreme weather events, or to participate in certain livelihood activities. Persons with disabilities are also more likely to have lower educational attainment, health outcomes, income and levels of employment than persons without disabilities. Studies show that women with disabilities are four times more vulnerable to gender-based violence. Persons with disabilities are also at enhanced risk of discrimination and social exclusion. Engagement will take into account persons with disabilities and ensure that they are not excluded from accessing training, alternative livelihoods, job creation and other sub-project benefits. This will require paying attention to such things as selecting training venues that are wheelchair accessible, and disseminating project information through media accessible to hearing impaired persons and visually impaired persons.

Members of poor households

Income inequality, or the gap between the rich and the poor, coexists with high levels of poverty, despite the high and middle-income status of most Caribbean countries. Members of poor households are particularly vulnerable to environmental degradation, due to greater dependence on natural resources, less diverse income sources and fewer economic assets. At the same time, poverty can be a driver of unsustainable use of resources, such as the use of forest or mangrove-derived charcoal for fuel, or encroachment on watersheds and forested areas for agricultural land. Conservation actions that fail to engage poor households risk exacerbating environmental degradation as well as entrenching inequality. Engagement will give particular attention to mitigating the risk of elite capture of project benefits, which can arise when poor households are viewed as less able to participate in sub-project activities.

Members of landless households

While there is significant overlap between landless households and poor households, they are considered as a separate group because there are particular considerations that apply to them. Members of landless households do not possess one of the main assets available to the rural poor: land. Rather, their main economic asset is their labor. Also, without land to use as collateral, members of landless households face an additional barrier to accessing credit, including micro-credit. In the context of the sub-project, members of landless households may be at enhanced risk

of social exclusion if their rights to access or manage natural resources are seen as less legitimate because they do not own land.

11. Stakeholder engagement program:

Components 1-3 heavily rely on stakeholder engagement:

Component 1: Prepare a Ten-year Species Conservation Action Plan for the Ridgway's Hawk in Los Haitises National Park

The purpose of this component is to prepare a Species Conservation Action Plan (CAP) with the key goal of increasing ownership and leadership of the management of Ridgway's Hawks by Dominican biologists, organizations, and governments. We will hold in-person and online meetings with stakeholders to develop the action plan (Activity 1.2.1). All project partners mentioned in Table 10.1 are expected to attend and participate in these meetings, and meet annually to review progress. The finalized CAP will be disseminated electronically to all workshop participants, hard copies will be provided to the Dominican Ministry of the Environment and NGOs, and national-level media releases will be issued to convey salient points to the wider public (Activity 1.4.4).

Component 2: Monitor and manage 125 -150 pairs of Ridgway's Hawks in Los Haitises National Park

This component employs 16 local Dominicans to monitor breeding Ridgway's Hawks weekly (Activity 2.1.2) and mitigate the effects of parasitic nest flies on hawk productivity by spraying accessible nests with permethrin (Activity 2.1.3). The goal is to support a robust population of hawks that is able to withstand anthropogenic and environmental pressures. Semi-annual progress reports will be prepared on the monitoring, management, and status of Ridgway's Hawks and shared with the Dominican Ministry of the Environment, Los Haitises National Park management team, and local communities (Activity 2.1.6).

Component 3: Environmental outreach and capacity development targeting 10 communities in the buffer zone of Los Haitises National Park

This component of the project directly aims to engage stakeholders by continuing to employ local Dominicans in conservation and enhancing capacity through training opportunities. We will hold two multi-day training sessions in workshop leadership for up to 50 people who work in conservation in the Dominican Republic (Activity 3.1.2). Project partners and other interested parties will be invited to attend these training sessions, where they will be provided with the tools and resources (Education Guide in Spanish or Haitian Creole; Activity 3.4.3) to then teach others.

Local communities will be involved through environmental outreach and education events (Activity 3.2.2), school presentations and visits with our Ambassador Hawk (Activity 3.2.3), and the celebration of Ridgway's Hawk Day. We will communicate our conservation message through brochures, posters, and other visual displays, with the goal of reducing hawk-human conflicts and persecution of Ridgway's Hawks.

Additionally, we will develop a Pilot Social Marketing Campaign to evaluate how to better engage communities nationwide. Alongside each project partner, we will design 1-2 slogans/art (Activity 3.5.1), conduct 3 focus groups in and around Los Haitises National Park to determine the most effective design at transmitting the conservation message (Activity 3.5.2), and select the final designs to be used (Activity 3.5.3).

12. Consultation methods:

Stakeholder group	Methods
Project partners (Fundación Grupo Puntacana, Fundación Propagas, ZooDom, Action pour la Sauvegarde de l'Ecologie en Haïti)	Workshops; virtual meetings; direct emails and phone calls.
Governmental organizations	Virtual meetings; direct emails and phone calls.
Local communities	Public meetings, one-on-one meetings, surveys, and events.

13. Other engagement activities:

As part of component 3, the project will engage local communities to participate in surveys aimed to evaluate the impact of our strategies through the following activities:

Activity 3.1.1: Conduct pre-surveys of knowledge and attitudes of Ridgway's Hawks and conservation in local communities around LHNP.

Activity 3.1.3: Conduct post-surveys of knowledge and attitudes of Ridgway's Hawks and conservation for at least 40 people who work in conservation in and around Los Haitises National Park.

Activity 3.1.4: Evaluate results of pre- and post-surveys to determine changes in conservation knowledge, attitudes, and capacity from the trainees.

Activity 3.3.1: Provide at least 1 chicken coop per household in areas of potential hawk-human conflict

Activity 3.3.2: As possible, make follow-up visits to the household to determine if and how the cages are being used and the perception of household members toward the cages, their effectiveness, and the hawks.

14. Timeline and resources:

The Stakeholder Engagement Plan will be implemented throughout the duration of the project and, as an integral part of all project components, implementation costs are integrated into the operational costs of the project.

15. Monitoring and arrangements:

Engagement with the project partners will be assessed via a number of project meetings held and attendees which is also where input will be sought and feedback on project activities provided. For any new CSO's engaged during the project the same approach will be followed.

16. Consultation:

We have signed a Memorandum of Understanding with three local institutions which are our main project partners: Fundación Grupo Puntacana, Fundación Propagas, and the National Zoo (ZooDom). This MOU establishes a partnership between these institutions and increases each institution's ability to conserve the Ridgway's Hawk throughout the Dominican Republic, using each one's strengths and skills.

All our work is carried out under a research permit provided by the Ministry of the Environment and Natural Resources. Each year, we provide a written report summarizing our work, accomplishments, any setbacks, and future plans for the project.

We have an agreement with Club Med Dominican Republic (Miches and Punta Cana) to provide them with content for the resorts' guests and staff to enhance the communication and educational opportunities for them in relation to the Ridgway's Hawks (including presentations, workshops, activities, and other educational programs).

17. Disclosure:

All documents will be shared with project partners prior to start of the project and provided to members of the public prior to any surveys or awareness events to be undertaken as part of the project. Information will be provided in Spanish, English, and Haitian Creole.

18. Grievance mechanism:

The following is the GM for the TPF sub-project to address concerns of TPF's external stakeholders. The GM will be made available to stakeholders, including via our website, once the sub-project starts. Grievances that relate to TPF project workers will be handled by a separate mechanism which is included as part of the sub-project's ESS2: Labour Management Plan.

The key measures of this GM will be to explain the purpose of any visit to stakeholders, explain the existence of the GM and make available contact information of TPF and the CEPF Secretariat. This will be done through a printed handout or other locally appropriate means.

Objectives of the GM

The objectives of the GM are as follows:

1. Ensure that the World Bank ESSs are adhered to in all project activities.
2. Address any negative environmental and social impacts of all project activities.
3. Resolve all grievances emanating from project activities in a timely manner.
4. Establish relationships of trust between project staff and stakeholders.
5. Create transparency among stakeholders, including affected persons, through an established communication system.
6. Bolster the relationship of trust among the project staff and the affected parties.

First Level of Redress

1. *Receive Grievance:* All complaints should be received by TPF’s Dominican Republic Environmental Education and Field Program Director. Complaints can be made in person, in writing, verbally over the phone, by email or any other suitable medium. Complaints can be filed anonymously. The point of receipt of complaints is listed below:

Contact	
Title	Environmental Education and Field Program Director
Telephone	+507 6267 9745
Email address	curti.marta@peregrinefund.org
Physical address	5668 W. Flying hawk Ln. Boise, Idaho, 83709, USA.

All grievances received by TPF staff should be forwarded to the Project Director within 24 hours of receipt.

2. *Acknowledgement:* All grievances will be acknowledged by telephone or in writing by the Program Director within 48 hours of receipt and the complainant will be informed of the approximate timeline for addressing the complaint, if it can’t be addressed immediately. The Program Director will seek to ensure the speedy resolution of the grievance. If the grievance cannot be resolved at this level, it is taken to the next level.

3. *Record:* The grievance will be registered in TPF’s grievance file, including relevant documents.

4. *Notification:* Communication of the grievance as follows:

- a. If it is concerning the TPF project, communication to the RIT Manager
- b. Notification will also be made to the CEPF Grant Director within 15 days.
- c. If it is concerning general TPF operations/activity, communication to TPF Human Resources.

5. *Assessment:* A decision is made on the nature of the investigation that will take place.

6. *Investigation:* Appropriate investigation of the grievance by an internal team assigned to this task. The investigation may include meetings with the complainant and other stakeholders and a review of relevant documents. An impartial party shall be involved in meetings with the complainant. Community representatives or representatives of the complainant will be allowed to sit in on these meetings. Minutes of meetings and documents will be added to the grievance file.

7. *Resolution*: Depending on the findings of the investigation:

- a. A resolution is decided immediately
 - i. The complaint is rejected
 - ii. A response is agreed
 - iii. The complaint is referred as appropriate
- b. A resolution cannot be achieved, and the case is presented to the RIT Manager or the CEPF Grant Director for further input

8. *Communication*: Once a resolution has been reached, the decision is communicated to the complainant in writing. Documents are added to the grievance file.

9. *Satisfaction*: If the complainant is not satisfied by TPF's response, it can be taken to the second level of redress. At all stages, documents are added to the grievance file.

NB: The complainant may request that the issue be transferred to the second level of redress if he/she does not feel that the grievance is being adequately addressed by the Project Director.

Second Level of Redress

If claimants are not satisfied with the way in which their grievance has been handled at level one, they will be given the opportunity to raise it directly with the CEPF Grant Director for the Caribbean Islands Biodiversity Hotspot, who can be contacted as follows:

Contact	
Title	Grant Director for the Caribbean Islands Biodiversity Hotspot
Telephone	+1-703-341-2400
Email address	cepf@cepf.net
Physical address	Critical Ecosystem Partnership Fund, 2011 Crystal Drive, Suite 600, Arlington, VA 22202

Third Level of Redress

If claimants are not satisfied with the way in which their grievance has been handled at level two, they can contact the CEPF Executive Director via the CI Ethics Hotline (telephone: +1-866-294-8674 / web portal: <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>).

If the complainant does not accept the solution offered by the CEPF Executive Director, then the complaint

is passed on to the fourth level. Alternatively, the complainant can access the fourth level at any point. It is expected that the complaint will be resolved at this level within 35 working days of receipt of the original complaint. However, if both parties agree that meaningful progress towards resolution is being made, the matter may be retained at this level for a maximum of 60 working days.

The complainant has the option of approaching the World Bank, if they find the established GRM cannot resolve the issue. **It must be noted that this GRS should ideally only be accessed once the sub-project's grievance mechanism has first been utilized without an acceptable resolution.** World Bank Procedures require the complainant to express their grievances in writing to World Bank office in Washington DC by completing the bank's GRS complaint form, which can be found at the following link: <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redressservice#5> . Completed forms will be accepted by email, fax, letter, and by hand delivery to the GRS at the World Bank Headquarters in Washington or World Bank Country Offices.

Email: grievances@worldbank.org
Fax: +1-202-614-7313
By letter: The World Bank
Grievance Redress Service (GRS)
MSN MC 10-1018 NW,
Washington, DC 20433, USA

Addressing Gender-based Violence

The specific nature of sexual exploitation and abuse and of sexual harassment (SEA/SH) requires tailored measures for the reporting, and safe and ethical handling of such allegations. A survivor-centered approach aims to ensure that anyone who has been the target of SEA/SH is treated with dignity, and that the person's rights, privacy, needs and wishes are respected and prioritized in any and all interactions.

The Grantee will specify an individual who will be responsible for dealing with any SEA/SH issues, should they arise. A list of SEA/SH service providers will be kept available by the project. The Grantee should assist SEA/SH survivors by referring them to Services Provider(s) for support immediately after receiving a complaint directly from a survivor.

To address SEA/SH, the project will follow the guidance provided on the World Bank Technical Note "Addressing Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) in Investment Project Financing Involving Civil Works". This Grantee will follow the official WB definitions described on the Technical Note as shown below:

Sexual Abuse (SEA) is an actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions

Sexual Exploitation (SE) refers to any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.

Sexual harassment (SH) is any unwelcome sexual advance, request for sexual favour, verbal or physical conduct or gesture of a sexual nature, or any other behaviour of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation to another, when such conduct interferes

with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

Sexual Exploitation and Abuse and Sexual Harassment (SEA/SH) service provider is an organization offering specific services for SEA/SH survivors, such as health services, psychosocial support, shelter, legal aid, safety/security services, etc.

The survivor-centered approach is based on a set of principles and skills designed to guide professionals—regardless of their role—in their engagement with survivors (predominantly women and girls but also men and boys) who have experienced sexual or other forms of violence. The survivor-centered approach aims to create a supportive environment in which the survivor's interests are respected and prioritized, and in which the survivor is treated with dignity and respect. The approach helps to promote the survivor's recovery and ability to identify and express needs and wishes, as well as to reinforce the survivor's capacity to make decisions about possible interventions.

SEA/SH grievances can be received through any of the available channels and will be considered as "High-profile grievances - that if not resolved promptly may represent significant risks to the environment or community". A list of SEA/SH service providers is available at the RIT's page for the Dominican Republic (<https://canari.org/wp-content/uploads/2021/11/CEPF-II-GBV-Service-Providers-DR.pdf>).

Additionally, if an incident occurs, it will be reported as appropriate, keeping the anonymity and confidentiality of the complainant and applying the survivor-centered approach. Any cases of SEA/SH brought through the Grantee will be documented but remain closed/sealed to maintain the confidentiality of the survivor. The CEPF will be notified as soon as the designated persons from the Grantee organization learn about the complaint.

If a SEA/SH related incident occurs, it will be reported through the Grantee, as appropriate and keeping the survivor information confidential. Specifically, following steps will be taken once an incident occurs:

ACTION 1: complaint intake and REFERRAL

If the survivor gives consent, the designated person responsible from the Grantee fills in a complaints form, excluding any information that can identify the survivor:

- The nature of the allegation (what the complainant says in her/his own words without direct questioning)
- If the alleged perpetrator was/is, to the survivor's best knowledge, associated with the project (yes/no)
- The survivor's age and/or sex (if disclosed); and,
- If the survivor was referred to services

If the survivor does not want to provide written consent, her consent can be verbally received. If needed or desired by the survivor, the designated person responsible for the Grantee refers her/him to relevant SEA/SH service providers, identified in the mapping of SEA/SH service providers and according to preestablished and confidential referral procedures. The survivor's consent must be documented even if it is received verbally. The service providers will be able to direct survivors to other service providers in

case the survivor wishes to access other services. The designated person responsible for the Grantee will keep the survivor informed about any actions taken by the perpetrator's employer. If the survivor has been referred to the relevant SEA/SH service providers, received adequate assistance, and no longer requires support; and if appropriate actions have been taken against the perpetrator or if the survivor does not wish to submit an official grievance with the employer, the designated person responsible from the Grantee can close the case.

ACTION 2: INCIDENT REPORTING

The designated person responsible for the Grantee needs to report the anonymized SEA/SH incident as soon as it becomes known, to the Executive Director who will in turn inform the CEPF.

Complaint Forms and other detailed information should be filed in a safe location by the designated person responsible for the Grantee. Neither the designated person responsible for the Grantee nor the Executive Director should seek additional information from the survivor.

SEA/SH incident reporting is not subject to survivors' consent but the designated person responsible from the Grantee needs to provide ongoing feedback to the survivor at several points in time: (1) when the grievance is received; (2) when the case is reported to designated person responsible from the Grantee and CEPF; (3) when the verification commences or when a determination is made that there is an insufficient basis to proceed; and (4) when the verification concludes or when any outcomes are achieved or disciplinary action is taken.

As long as the SEA/SH remains open the designated person responsible from the Grantee and/or Executive Director should update the CEPF on the measures taken to close the incident.

ACTION 3: GRIEVANCE VERIFICATION AND INVESTIGATION

Each SEA/SH incident should be verified to determine if it was related to the CEPF-funded project. The designated person responsible for the Grantee should form a SEA/SH verification committee comprised by her/him, one member of the Grantee organization, one member of a local service provider and a representative of the contractor (if relevant). The designated person responsible from the Grantee should notify the SEA/SH Committee of the incident within 24 hours of its creation. The SEA/SH verification committee will consider the SEA/SH allegation to determine the likelihood that the grievance is related to the project.

If after the committee review, SEA/SH allegation is confirmed and it is determined that it is linked to a project, the verification committee discusses appropriate actions to be recommended to the appropriate party—i.e., the employer of the perpetrator, which could be the designated person responsible from the Grantee or a contractor. The designated person responsible from the Grantee will ask contractors to take appropriate action. The committee reports the incident to the perpetrator's employers to implement the remedy/disciplinary action in accordance with local labour legislation, the employment contract of the perpetrator, and their codes of conduct as per the standard procurement documents.

For SEA/SH incidents where the survivor did not consent to an investigation, the appropriate steps should be taken to ensure the survivor is referred to/made aware of available services and that the project mitigation measures are reviewed to determine if they remain adequate and appropriate or if they require strengthening.

If the survivor is interested in seeking redress and wishes to submit an official complaint with the employer, or with entities in SVG legal system, the designated person responsible from the Grantee should provide linkages to the relevant institutions. Ensuring due legal process is up to the police and the courts, not the SEA/SH verification committee. Unlike other types of issues, the designated person responsible from the Grantee does not conduct investigations, make any announcements, or judge the veracity of an allegation.

Any cases of SEA/SH brought through the Grantee will be documented but remain closed/sealed to maintain the confidentiality of the survivor. Here, the GM will primarily serve to:

- Refer complainants to the SEA/SH Services Provider; and
- Record the resolution of the complaint

The Grantee will also immediately notify both the CEPF and the World Bank of any SEA/SH complaints **WITH THE CONSENT OF THE SURVIVOR.**

ATTACHMENT 1: Behaviours constituting Sexual Exploitation and Abuse (SEA) and behaviours constituting Sexual Harassment (SH)

ATTACHMENT 1 TO THE CODE OF CONDUCT FORM

BEHAVIORS CONSTITUTING SEXUAL EXPLOITATION AND ABUSE (SEA) AND BEHAVIORS CONSTITUTING SEXUAL HARASSMENT (SH)

The following non-exhaustive list is intended to illustrate types of prohibited behaviours:

(1) Examples of sexual exploitation and abuse include, but are not limited to:

- A Grantee Personnel tells a member of the community that he/she can get them jobs related to the work site (e.g., cooking and cleaning) in exchange for sex.
- A Grantee Personnel that is connecting electricity input to households says that he can connect women headed households to the grid in exchange for sex.
- A Grantee Personnel rapes, or otherwise sexually assaults a member of the community.
- A Grantee Personnel denies a person access to any project Site unless he/she performs a sexual favor.
- A Grantee Personnel tells a person applying for employment under the Project that he/she will only hire him/her if he/she has sex with him/her.

(2) Examples of sexual harassment in a work context

- Grantee Personnel comment on the appearance of another Grantee Personnel (either positive or negative) and sexual desirability.
- When a Grantee Personnel complains about comments made by another Grantee Personnel on his/her appearance, the other Grantee Personnel comment that he/she is “asking for it” because of how he/she dresses.
- Unwelcome touching of a Grantee or Employer’s Personnel by another Grantee Personnel.
- A Grantee Personnel tells another Grantee Personnel that he/she will get him/her a salary raise, or promotion if he/she sends him/her naked photographs of himself/herself.