



CRITICAL ECOSYSTEM PARTNERSHIP FUND – CARIBBEAN HOTSPOT PROJECT  
(P173464)

## **Stakeholder Engagement Plan**

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## List of Acronyms

ANAP	l'Agence Nationale des Aires Protégées (National Protected Areas Agency)
C-CAM	Caribbean Coastal Area Management
CANARI	Caribbean Natural Resources Institute
CEPF	Critical Ecosystem Partnership Fund
CSAT	Collaborative Social Accountability Team
CSO	civil society organization
ECORED	Red Nacional de Apoyo Empresarial a la Protección Ambiental (National Network for Corporate Support for Environmental Protection)
ESMF	Environmental and Social Management Framework
ESCP	Environmental and Social Commitment Plan
ESS	Environmental and Social Standard
GBV	gender-based violence
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
INTEC	Instituto Tecnológico de Santo Domingo
KBA	Key Biodiversity Area
LMP	Labor Management Procedures
PRONATURA	Fondo Pro Naturaleza
RAUDO	Red Ambiental de Universidades Dominicanas (Dominican Universities Environmental Network)
RIT	Regional Implementation Team
SEP	Stakeholder Engagement Plan
UNPHU	Universidad Nacional Pedro Henriquez Ureña

## 1. INTRODUCTION

The purpose of this Stakeholder Engagement Plan (SEP) is to establish the timing and methods of engagement throughout the implementation of the Critical Ecosystem Partnership Fund (CEPF) – Caribbean Hotspot Project<sup>1</sup>. The SEP supports the development of strong, constructive and responsible relationships with project stakeholders that are important to and integral for the successful management of the project’s environmental and social risks. It responds to the World Bank’s requirements under Environmental and Social Standard 10 (ESS10) on stakeholder engagement and information disclosure.

Engagement with stakeholders, including civil society organizations (CSOs), government agencies and local communities in the project countries began prior to the development of the SEP, continued throughout the preparation of the project, and will continue throughout implementation. To this end, the SEP will be maintained, implemented and updated where necessary, throughout the project cycle.

In line with ESS10, the term “stakeholder” refers to individuals or groups who: (a) are affected or likely to be affected by the project (project-affected parties); or (b) may have an interest in the project (other interested parties). Stakeholders can include community groups or individuals affected by local impacts and their formal and informal representatives, national or local government authorities, politicians, religious leaders, organizations and civil society groups with special interest, academic communities, or private businesses.

Given the number of project sites, the diversity of stakeholders at each one and the variety of potential project impacts (positive and negative) on them, it is important to identify the stakeholders and then conduct an analysis of stakeholders, influence level, and power relations. This will be done for each of the sub-projects to be financed by the project. With a structured stakeholder engagement plan, there can be a two-way interaction between the project implementation parties and the identified stakeholder groups that indirectly affect and/or are affected by the project. Stakeholders shall be given an opportunity to convey their opinions in many ways, and the Project Implementation Unit (the CEPF Secretariat, hosted by Conservation International) will ensure that this information is considered while making decisions related to project implementation.

## 2. PROJECT DESCRIPTION

The project is an initiative of the Critical Ecosystem Partnership Fund (CEPF): a partnership of l’Agence Française de Développement, CI, the European Union, Fondation Hans Wilsdorf, the Global Environment Facility, the Government of Japan, and the World Bank. The project will support the operations of CEPF in eight countries of the Caribbean Islands Biodiversity Hotspot: Antigua and Barbuda; The Bahamas; Dominica; the Dominican Republic; Haiti; Jamaica; Saint Lucia; and Saint Vincent and the Grenadines. CEPF is a donor partnership, which was created in 2000 to enable civil society to protect the world’s biodiversity hotspots: biologically rich ecosystems that are essential to humanity, yet highly threatened. The Project Implementation Unit will be the CEPF Secretariat, administered by CI. As well as employing the CEPF Secretariat staff, CI also provides all necessary support functions to the CEPF Secretariat, including Human Resources and legal services. The World Bank is a founder member of CEPF. The objective of the Bank’s

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<sup>1</sup> The project is been prepared by Conservation International with the support of the World Bank, acting as the administrator of the Japan Policy and Human Resources Development Fund.

involvement is to provide strategic assistance to non-governmental and private sector organizations for the protection of vital ecosystems in IBRD borrowing member countries that have ratified the Convention on Biological Diversity.

The project aims to improve the capacity of CSOs to reduce threats to globally important biodiversity in the Caribbean Islands Biodiversity Hotspot. It builds on actions, efforts and lessons learned under a previous phase of investment from 2010 to 2016 that require additional support for consolidation. It supports replication and scaling-up of good practice models, and incorporates lessons learned from the first phase to ensure enhanced implementation and continuity of action.

The project addresses the issue that globally important biodiversity of the Caribbean Islands Hotspot is threatened by overexploitation, habitat loss, and invasive alien species. To achieve this, it seeks to overcome two key constraints: first that civil society organizations' capacity to implement conservation actions is constrained by administrative, financial and technical limitations; and second that CSOs' ability to deliver conservation impact at scale is hindered by isolation, lack of coordination and weak dissemination of good practice. To this end, the project has five components.

**Component 1: Increased Share of Land and Sea in and around Priority Key Biodiversity Areas under Improved Management.** This component will support a grant mechanism that focuses on building capacity of CSOs to reduce threats to globally important biodiversity. At the site scale, grant-making will support conservation actions in and around 43 priority Key Biodiversity Areas (KBAs): sites that contribute significantly to the conservation of global biodiversity. Calls for proposals will be issued in a manner to attract project ideas that will cumulatively generate impacts in a clearly defined geographical area.

Some priority KBAs are too small to support globally important biodiversity and the ecological processes on which they depend into the long term. Consequently, there is a need for complementary conservation actions in the surrounding landscape to buffer KBAs from threats, maintain ecological connectivity and facilitate gene flow essential to ensure that species populations retain long-term viability. To this end, CEPF grant making will also target seven priority corridors, covering 2.3 million hectares, and engage CSOs able to work in these areas.

**Component 2: Increased Capacity of CSOs in Conservation.** This component will further strengthen the capacity of local, national and regional civil society in the conservation and sustainable use of biodiversity through targeted capacity development activities (such as classroom-based trainings in proposal design, project cycle management, gender mainstream, and managing environmental and social risks, hands-on mentoring, and development of online training materials) and dedicated knowledge exchanges.

This component will be executed through a combination of grants to CSOs, to build local, national and regional institutional capacity and foster stakeholder collaboration, and direct training and mentoring of CSOs by the Regional Implementation Team (RIT).

**Component 3: Increased Capacity of RIT in Leadership and Coordination of CSO Conservation Actions.** This component will strengthen the role and widen the responsibilities of the RIT vis-à-vis the CEPF Secretariat. The RIT is central to the delivery of Components 1, 2 and 4, because it provides strategic leadership and local knowledge to build a broad constituency of CSOs working across institutional and political boundaries toward achieving the conservation goals described in the ecosystem profile. The RIT's

major functions and specific activities will be based on approved terms of reference. Capacity building for the RIT will be provided by the CEPF Secretariat.

**Component 4: Strengthened CSO Partnerships for Conservation.** The conservation challenges that threaten globally important biodiversity in and around the priority KBAs tend to be too complex for any organization to solve working in isolation. In the context of the project, this requires CSOs to work with one another and in close coordination with local and national governments, private sector actors and local communities to co-create analyses of and solutions to conservation challenges in non-confrontational ways. This approach, termed collaborative social accountability, will be adopted by the project to facilitate partnerships of CSOs and other stakeholders to design and implement conservation actions in and around priority KBAs.

In the Dominican Republic, Antigua and Barbuda, Jamaica and Saint Lucia, this component will be led by the Collaborative Social Accountability Team (CSAT), hosted at the Instituto Tecnológico de Santo Domingo (INTEC), with co-financing support and oversight from the World Bank's Global Partnership for Social Accountability. In The Bahamas, Haiti and Saint Vincent and the Grenadines, this component will be led by the RIT, learning from the experience of INTEC. This component will not be implemented in Dominica, which was included in the project with only two years remaining.

**Component 5: Project Management, including M&E.** All activities related to administration and supervision of the project, communication, procurement and financial management as well as monitoring and reporting will be covered under this component. The Project Implementation Unit will be the CEPF Secretariat, working in partnership with the RIT, and in close collaboration with the CSAT. Under this component, communication on the project, including gathering lessons learned from the implementation will be financed.

### 3. STAKEHOLDER IDENTIFICATION

Each sub-project will engage different stakeholders through different activities in and around one or more of the 43 priority KBAs. Consequently, each sub-project will require a tailored approach to stakeholder engagement, in line with the overall approach set out in this document, and consistent with the requirements of ESS10. Each sub-grantee will be required to prepare a sub-project-specific SEP, following the template provided in the Environmental and Social Management Framework (ESMF) for the project. Because the sub-grants will be awarded on a competitive basis, through open calls issued during the project, it is not possible to precisely identify all project stakeholders at this point. Consequently, this section describes the approach to stakeholder identification that was adopted during the preparation of the overall project, before presenting a typology of the stakeholders and vulnerable groups that are likely to be affected by or have an interest in the sub-projects or other project activities.

#### 3.1 Stakeholder Identification Approach

The level of stakeholder engagement is informed by:

- Types of information and consultation needed for stakeholders to understand and respond to project risks, impacts and opportunities.
- Whether certain activities require special consent or permissions.

- Whether vulnerable and marginal groups are identified who require special assistance, particular types of information and opportunities to participate.

Identification and analysis of stakeholders is one of the key steps in this SEP. It is a process to identify and prioritize the main project stakeholders, including understanding their attention, focus and interests. During the project preparation process, there were two main phases of stakeholder engagement. The first took place during the preparation of the CEPF ecosystem profile<sup>2</sup>, which sets out a strategy for investing in civil society in the Caribbean Islands Hotspot, informed by a situational analysis of the political, institutional and socio-economic context for conservation. The second took place during the preparation of the ESMF for the project.

### **Ecosystem profile stakeholder consultations**

The ecosystem profile establishes the geographic and thematic priorities for grant making under the project and informs the project approach. The ecosystem profile was prepared in 2017-2018 through a process of stakeholder consultation. The process incorporated regional stakeholder expertise through three national workshops (in the Dominican Republic, Haiti and Jamaica), and an online sub-regional meeting for The Bahamas and the eastern Caribbean, national KBA working groups and a regional consultation. The process engaged 175 stakeholders from 94 organizations within civil society, government, the private sector and the donor community. The list of organizations consulted is presented in Annex 1.

The national workshops and an online sub-regional meeting were held during June and July 2017. The workshop in the Dominican Republic was coordinated by Fondo Pro Naturaleza (PRONATURA) in association with the Universidad Nacional Pedro Henriquez Ureña (UNPHU). The Société Audubon coordinated the meeting in Haiti, while the Jamaica workshop was organized by the Caribbean Coastal Area Management (C-CAM) Foundation, in association with the Institute for Sustainable Development of the University of the West Indies (Mona). The national KBA expert working groups were convened in late 2017, and the regional workshop in Kingston, Jamaica took place in January 2018 (Table 1).

**Table 1: Schedule of Stakeholder Consultations on the Ecosystem Profile**

<b>Workshop</b>	<b>Date</b>	<b>Number of Participants</b>
Dominican Republic National Consultation	27 – 28 June 2017	51
Haiti National Consultation	3 – 4 July 2017	34
Jamaica National Consultation	7 - 8 July 2017	31
Online Meeting for The Bahamas and the eastern Caribbean	25 July 2017	12
National KBA Expert Working Groups	November-December 2017	20

<sup>2</sup> The stakeholder consultations that took place during the preparation of the ecosystem profile for the Caribbean Islands Hotspot are described in Chapter 2 of the profile: <https://www.cepf.net/resources/ecosystem-profile-documents/caribbean-islands-ecosystem-profile-december-2019>

Regional Consultation	10 January 2018	27
<b>Total Workshop Participants</b>		<b>175</b>

The profiling team, led by the Caribbean Natural Resources Institute (CANARI), compiled discussion papers on thematic issues that were presented at the national consultations. The discussion papers and baseline lists of KBAs and trigger species were made available on the interactive ArcGIS Story Map microsite between June and September 2017 for online review.

The draft geographic and thematic priorities for grant making were reviewed and validated by participants during the regional consultation workshop in Jamaica, which brought together 27 experts from civil society, government, and funding agencies, who were asked to review the draft from a regional perspective. The recommendations of this meeting were used to revise the overall approach and investment strategy. They are reflected in the identification of project risks in the ESMF, as well as in the identification of stakeholders and vulnerable groups in Sections 3.2 and 3.3 of this SEP.

### **ESMF stakeholder consultations**

The ESMF examines the risks and impacts of the overall project, and sets out a framework for assessing the risks and impacts of the individual sub-projects, which have not been identified yet. During September and October 2020, a series of virtual consultations on the draft ESMF and SEP were held with 76 stakeholders from the project countries. Two rounds of consultations were held: the first to present the project, the identified stakeholders, vulnerable groups and environmental and social risks, the proposed mitigation measures, and the grievance mechanism; and the second to discuss stakeholder observations on the draft ESMF. Separate consultations were held for stakeholders in the Dominican Republic (in Spanish), Haiti (in French) and The Bahamas, Jamaica and the eastern Caribbean (in English). In parallel to the consultation meetings, the draft ESMF was made publicly available on a dedicated webpage <https://www.cepf.net/caribbean-islands-project-public-consultation> and stakeholders were invited to submit written feedback (Table 2). The ESMF and the SEP were edited to incorporate feedback provided by stakeholders, including with regard to identification of stakeholders and vulnerable groups, identification of environmental and social risks and design of mitigation measures.

**Table 2: Schedule of Stakeholder Consultations on the ESMF**

<b>Consultation</b>	<b>Date</b>	<b>Number of Participants</b>
Antigua and Barbuda, The Bahamas, Jamaica, Saint Lucia, Saint Vincent and the Grenadines – Round II	14 September 2020	17 people (incl. 14 women)
Haiti – Round I	15 September 2020	15 people (incl. 4 women)
Dominican Republic – Round I	16 September 2020	36 people (incl. 20 women)
Haiti – Round II	28 September 2020	9 people (incl. 4 women)



Antigua and Barbuda, The Bahamas, Jamaica, Saint Lucia, Saint Vincent and the Grenadines – Round II	29 September 2020	16 people (incl. 13 women)
Dominican Republic – Round II	30 September 2020	22 people (incl. 12 women)
Online Consultation on Draft Document	10 September – 15 October 2020	[tbd]
<b>Total Participants</b>		<b>76 people (incl. 40 women)</b>

The stakeholder consultations were aimed at CSOs, governmental representatives, community members, and historically underserved sectors of society. Targeted efforts were made to invite representatives of vulnerable groups, including women, youth, LGBTI persons and persons with disabilities. Section 3.3 of this SEP explains in what way each specific group is vulnerable and in the context of the project.

The list of stakeholders was developed in consultation with CANARI and local consultants and drew on contacts developed during a previous phase of CEPF grant making in the Caribbean Islands Hotspot, between 2010 and 2016. The full list of invitees is presented in Annex 2. This list identifies those invitees who participated in the consultations, either by attending a virtual meeting or by commenting on the draft documents disclosed online. The feedback received from stakeholders is summarized in Annex 3.

### 3.2 Project Stakeholders

Nine main groups of stakeholders have been preliminarily identified. The first four groups are considered project-affected parties, because they are anticipated to be directly affected by the project: local NGOs, academic institutions and community-based organizations as recipients of capacity building and other forms of support; and local communities as recipients of benefits from sub-projects, such as training, livelihood improvement, job creation, access to ecosystem services, etc. The remaining five groups (national government agencies, local government agencies, private sector actors, schools and international NGOs) are considered other interested parties, because, while they are not anticipated to directly benefit from project activities, they are expected to participate in collaborations to identify and implement solutions to local conservation challenges. In its SEP, each sub-grantee will be required to identify the specific organizations and individuals in each stakeholder group that are relevant to its sub-project.

#### Project Affected Parties

##### Local NGOs

People’s organizations have traditionally played an important role in social, economic and cultural development in Caribbean society. Civic activity in the region goes as far back as the pre-emancipation period and continues to be important in the modern era. The sector has gone from being primarily welfare oriented and volunteer-led to include technical and policy-focused non-profit organizations staffed by full-time professionals that manage large, multi-year projects. Caribbean NGOs continue to play an essential role in the delivery of social services. NGOs also engage in research, capacity building, awareness raising and advocacy. There are emerging models of non-profits as social enterprises.

All Caribbean Island countries have at least one NGO with a mission that includes biodiversity conservation or related issues, and many have co-management responsibilities for protected areas. The ecosystem profile identified 124 Caribbean NGOs working on environmental issues in one or more of the project countries, with the largest numbers in the Dominican Republic and Haiti.

Analysis conducted during the preparation of the ecosystem profile revealed that the work of most environmental NGOs is oriented towards operations rather than advocacy, with most groups having a focus on the design and implementation of activities related to management of sites and/or species, sustainable livelihoods, community development or environmental education. They are anticipated to play similar roles during the project, as these activities will be central to the design of most of the sub-projects supported under Component 1. The identity of the local NGOs that will participate in the project as sub-grantees is not yet known, because the sub-grants under Component 1 will be awarded on a competitive basis, following open calls. An indicative list of local NGOs in the project countries is provided to give an example of the types of organization that might possibly become sub-grantees. Inclusion on this list does not, in any way, indicate a predetermination that an organization will be supported under the project.

#	Country	Organization Name
1	Antigua and Barbuda	Environmental Awareness Group Inc.
2	The Bahamas	The Bahamas National Trust
3	Dominica	Anse Kouanari Tourism Association
4	Dominica	Dominica Hotel and Tourism Association
5	Dominica	WildDominique
6	Dominican Republic	Consortio Ambiental Dominicano
7	Dominican Republic	Fondo Pronaturaleza Inc.
8	Dominican Republic	Fundación José Delio Guzmán Inc.
9	Dominican Republic	Grupo Jaragua
10	Dominican Republic	Instituto Dominicano de Desarrollo Integral, Inc.
11	Dominican Republic	Kiunzi SRL
12	Dominican Republic	Sociedad Ornitológica de la Hispaniola Inc
13	Dominican Republic	Sociedad Para el Desarrollo Integral del Nordeste, Inc.
14	Haiti	Centro para el Desarrollo Agropecuario y forestal, Inc.
15	Haiti	Collectif Developpement
16	Haiti	Fondation Nouvelle Grand'Anse
17	Haiti	Fondation pour la Protection de la Biodiversite Marine
18	Haiti	Organisation pour la Rehabilitation de l'Environnement
19	Haiti	Reseau d'Enseignement Professionnel et d'Interventions Ecologiques
20	Haiti	Société Audubon Haiti
21	Jamaica	Caribbean Coastal Area Management Foundation
22	Jamaica	Dispute Resolution Foundation
23	Jamaica	Environmental Foundation of Jamaica
24	Jamaica	Jamaica Conservation and Development Trust
25	Jamaica	Jamaica Environment Trust
26	Saint Lucia	Saint Lucia National Trust
27	St Vincent & the Grenadines	Saint Vincent and the Grenadines National Trust

## Academic institutions

Tertiary education and research institutions in the Caribbean islands play an important role in supporting biodiversity conservation and environmental management through their research, education and outreach. This engagement occurs at different levels. Academic institutions may partner with local communities and NGOs to carry out tailored research (e.g., climate change assessments, social assessments, or biodiversity inventories) in support of project implementation. Academic institutions may also collaborate with government institutions and agencies to promote conservation and sustainable management of biodiversity, and to inform environmental policy and regulations. Moreover, academic institutions can play a lead role in implementing national or regional conservation programs. Academic institutions are anticipated to play all of these roles under the project.

The ecosystem profile identified 30 academic institutions with environmental programs in project countries, with the vast majority in the Dominican Republic. In 2012, 10 universities in the Dominican Republic formed the *Red Ambiental de Universidades Dominicanas* (Dominican Universities Environmental Network or RAUDO) to support the sustainable development of the country, by bringing together the capacities of these higher education institutions to generate and disseminate environmental knowledge within the academic community and society at large, through education, research and extension. The network now includes 17 universities, including INTEC. An indicative list of academic institutions in the project countries is provided to give an example of the types of organization that might play roles under the project.

#	Country	Organization Name
1	Antigua and Barbuda	Barbuda Research Complex
2	The Bahamas	Bahamas Marine Mammal Research Organisation
3	The Bahamas	Bimini Biological Field Station Foundation
4	The Bahamas	Gerace Research Centre
5	The Bahamas	The Island School
6	Dominica	Archbold Tropical Research and Education Center
7	Dominica	Institute for Tropical Marine Ecology
8	Dominican Republic	Instituto Dominicano de Investigaciones Agropecuarias y Forestales
9	Dominican Republic	Instituto Superior de Agricultura
10	Dominican Republic	Museo Nacional de Historia Nacional
11	Dominican Republic	Universidad Agroforestal Fernando Arturo de Meriño
12	Dominican Republic	Universidad Autónoma de Santo Domingo
13	Dominican Republic	Universidad Nacional Pedro Henriquez Ureña
14	Haiti	Université d'État d'Haïti
15	Haiti	Université de Technologie d'Haïti
16	Jamaica	Natural History Museum of Jamaica
17	Jamaica	University of the West Indies, Institute for Sustainable Development
18	Jamaica	University of the West Indies, Mona Campus
19	Jamaica	Windsor Research Centre
20	Saint Lucia	Sir Arthur Lewis Community College
21	Saint Vincent and the Grenadines	Richmond Vale Academy

## Community-based organizations

Community-based organizations have been playing an increasingly important role in biodiversity conservation in the Caribbean, along with producer organizations and cooperatives. These groups may be organized around a business or productive activity, like agriculture or fisheries, which may directly or indirectly benefit conservation (for example, sustainable farming in a KBA buffer zone or ecotourism in a protected area). The scope of these organizations is generally more narrowly focused than that of their local NGO counterparts and their capacity to plan, implement and evaluate conservation projects tends to be lower. They are, however, an essential component of efforts to implement socio-culturally relevant and sustainable conservation and resource management initiatives. The ecosystem profile identified 54 environmentally focused community-based organizations and 69 producer organizations in project countries, with the largest numbers in Dominica, Jamaica and Saint Lucia.

One area where community-based organizations and producer organizations are active is fisheries co-management, where resource-user groups and fisherfolk organizations have been engaged in governance and management of fisheries resources with the help of intermediary organizations, including CANARI. Community-based organizations have also been engaged in management of terrestrial areas. For example, since 2000, the Jamaican Forestry Department has been establishing Local Forest Management Committees to enable local communities to participate in the planning, management, protection, and sustainable use of local forests. In the Dominican Republic, three community-based organizations have developed in Jaragua-Bahoruco-Enriquillo Biosphere Reserve, one of which promotes ecotourism and sustainable use of natural resources among surrounding communities. An indicative list of community-based organizations in the project countries is provided to give an example of the types of organization that might benefit from the project.

#	Country	Organization Name
1	Dominican Republic	Dajabón Community Nursery
2	Dominica	Salisbury Fisheries, Agriculture and Tourism Cooperative Group
3	Haiti	Organisation des Groupements pour l'Avenir de Rossignol
4	Haiti	Organisation des Paysans pour le Développement de l'Unité II de la Forêt des Pins, Mare Rouge
5	Jamaica	Clarendon Parish Development Committee Benevolent Society
6	Jamaica	Cockpit Country Local Forest Management Committee
7	Jamaica	Dolphin Head Local Forest Management Committee
8	Jamaica	St Ann Parish Development Committee
9	Jamaica	The Bluefields People's Community Association
10	Saint Lucia	Castries Fishermen's Cooperative
11	Saint Lucia	Laborie Fishers and Consumers Co-op
12	Saint Vincent and the Grenadines	Diamond Village Community Heritage Organisation
13	Saint Vincent and the Grenadines	Goodwill Fisherman's Co-op

## Local communities at sub-project sites

While the Caribbean as a whole is urbanizing faster than anywhere else in the world, most sub-projects will take place in rural areas, where agriculture (both smallholding and commercial plantations) is an

important source of employment, together with other natural resource sectors and tourism. The small, open economies of the Caribbean Islands are vulnerable to external shocks, such as natural disasters, fluctuating commodity prices in the world market, and volatility in the tourism sector, which is a major income-earning sector in most countries. Prior to the COVID-19 pandemic, the contribution of tourism to the GDP of project countries ranged from 10 percent in Haiti to 60 percent in Antigua and Barbuda.

Even before the COVID-19 pandemic, stakeholders consulted during the preparation of the ecosystem profile emphasized the need for linkages between sustainable livelihoods and biodiversity conservation, as conservation efforts are unlikely to be sustainable unless the development priorities of local communities are addressed. This need is likely to have intensified greatly, as income and employment from the tourism sector have collapsed (at least temporarily), and economic activity in other sectors has declined as a result of the pandemic. While the situation will vary among communities and between countries according to local circumstances, local communities at sub-project sites are anticipated to be more dependent upon natural resources and more economically vulnerable. In this context, sub-projects will need to prevent elite capture of project benefits and avoid entrenching social exclusion of vulnerable groups. This will require stakeholder analysis, including the identification of vulnerable groups within communities and involving them throughout the project cycle.

Because the sub-grants under Component 1 will be awarded on a competitive basis, following open calls, the location of project activities and, thus, the beneficiary communities is not yet known. Applicants for sub-grants under Component 1 will be required to describe the social context of where sub-project activities will take place as part of their application and to identify the project location. All applications will be screened against the World Bank's ESSs, following the process set out in the ESMF, and additional information on affected communities will be requested from applicants, with a level of detail determined by an evaluation of social risks.

## Other Interested Parties

### **National government agencies**

The institutional landscape in project countries can be complex, with multiple agencies having overlapping authority over protected areas or other KBAs, and few overarching coordinating mechanisms, particularly at the operational level. The project will respond to this challenge by adopting a collaborative social accountability approach to build partnerships of different actors, including relevant government agencies. In particular, it will be necessary to engage national government agencies responsible for biodiversity conservation and management of protected areas, as well as those with responsibilities related to management of forests, fisheries, water and other natural resources.

In Antigua and Barbuda, the National Parks Authority, Barbuda Council and the Fisheries Division constitute the legal authorities managing operational protected areas, while the Forestry Unit and the Development Control Authority are also authorized to manage protected areas and other sites of high biodiversity value.

The Bahamas National Trust oversees the Bahamas National Park System, while the Department of Marine Resources is the governmental agency in charge of the Marine Reserve Network.

In Dominica, the National Park Unit within the Forestry, Wildlife and Parks Division is responsible for the maintenance and upkeep of botanic gardens and the island's National Parks System, including Morne Diablotin National Park: the sole priority KBA in the country.

The *Dirección de Áreas Protegidas* (Protected Areas Department) of the *Secretaría de Estado de Medio Ambiente y Recursos Naturales* (Ministry of Environment and Natural Resources) is the principal authority in charge of the management of protected areas. Following recent decentralization policies, city councils have been given greater authority for environmental management, including the power to declare areas for conservation within their territorial jurisdiction.

In Haiti, *l'Agence Nationale des Aires Protégées* (National Protected Areas Agency or ANAP) is the government agency with responsibility for protected area management.

In Jamaica, the agencies in charge of the management of protected areas are the Natural Resources Conservation Authority, the National Environment and Planning Agency, the Fisheries Division, the Forestry Department and Jamaica National Heritage Trust.

In Saint Lucia, forest reserves and protected forests fall under the responsibility of the Department of Forestry, while nature reserves are under the authority of Saint Lucia National Trust. Marine management areas and marine reserves are under the responsibility of the Fisheries Department.

In Saint Vincent and the Grenadines, the National Parks, Rivers and Beaches Authority is the lead coordinator for protected areas management and works in partnership with several governmental organizations, such as the Forestry Department, the Fisheries Department, and Saint Vincent and the Grenadines National Trust.

National government agencies will be engaged in activities under Component 4, to co-create analyses of conservation challenges and shared solutions to them, using a collaborative social accountability approach. This will ensure that the identified conservation actions are well aligned with national development plans and climate change adaptation plans. Selected national government agencies will also be invited to join the Regional Advisory Committee: a body established under the Project to provide independent advice to the CEPF Secretariat and RIT on the selection of sub-grant applications for award, as well as the strategic development of the project.

### **Local government agencies**

Local government agencies, at the municipality, parish or equivalent level, are a key project stakeholder because of their leading role in land-use planning and other development decision making. The project will engage local government agencies in the collaborative social accountability processes for priority KBAs and clusters of priority KBAs, which will take place under Component 4. The project will facilitate partnerships between local government agencies, CSOs, communities, private sector actors and other stakeholders to identify and analyze local conservation issues and develop joint solutions to them. Some of these solutions will be implemented through sub-grants awarded under Component 1. While public sector agencies will not be eligible to receive sub-grants, CSOs will be expected to develop their sub-grants in close consultation with relevant local government agencies, to obtain necessary permits and authorizations, and to ensure that they align with local development plans and priorities.

## Private sector actors

The private sector in most Caribbean island countries includes national, regional and multinational companies but is mainly comprised of locally owned, small and medium-sized enterprises that operate in small and medium-sized towns and lack strong links to the global economy.

Some of the large private companies in the region have established charitable foundations as a vehicle for corporate giving in the countries and communities where they operate. Most of these corporate foundations orient their giving towards social issues (education, health, etc.), although some have an environmental focus, such as Fundación Propagas, the corporate foundation of Grupo Propagas, which supports conservation activities at Parque Nacional Dr. Juan Bautista Pérez in the Dominican Republic.

Efforts to engage the private sector in conservation efforts across the hotspot have met with varying degrees of success. During the initial phase of CEPF investment, initiatives in Antigua and Barbuda, the Dominican Republic and Haiti resulted in successful collaborations between CSOs and the private sector. Most traction was gained in the Dominican Republic, where there is a *Red Nacional de Apoyo Empresarial a la Protección Ambiental* (National Network for Corporate Support for Environmental Protection or ECORED): a 90-member non-profit network of private sector organizations committed to developing a culture of sustainable development. This experience will be built upon under the project, where private sector actors are anticipated to be engaged in the design and implementation collaborative conservation actions in and around priority KBAs. An indicative list of private sector actors in the project countries is provided to give an example of the types of organization that might be engaged in the project in this way.

#	Country	Organization Name
1	Dominican Republic	Barrick Pueblo Viejo
2	Dominican Republic	Bepensa S.A. de C.V.
3	Dominican Republic	Fundación Propagas
4	Dominican Republic	Fundación Tropigas
5	Dominican Republic	Helados Bon
6	Dominican Republic	Nacional de Apoyo Empresarial
7	Jamaica	Sandals Resorts International
8	Saint Lucia	Lucia Electricity Services Limited

## Schools

Lack of awareness and understanding of the importance of biodiversity and ecosystem services among decision makers and the general public is a factor contributing to the high rates of biodiversity loss in the Caribbean Islands Hotspot. In some countries, national governments are addressing this by emphasizing coverage of environmental issues in the national school curriculum. In The Bahamas, for instance, environmental education is an integrated part of primary and secondary school curricula. These initiatives will, in the long run, increase the proportion of the population with environmental awareness and interest, leading to a greater call for environmental issues to be properly addressed by politicians and other decision-makers, and an increase in the overall pool of individuals with the technical skills required for biodiversity conservation. In the context and the timeframe of the project, schools are recognized as having a role to play in raising environmental awareness among children and their parents in communities in and around priority KBAs, and thereby building support for sub-project activities under Component 1. Therefore, where relevant, schools should be engaged in activities under Component 4 to analyze local conservation problems and co-create solutions to them.

## **International NGOs**

Several international environmental NGOs have longstanding programs in the Caribbean Islands Hotspot. They include BirdLife International, Durrell Wildlife Conservation Trust, Fauna & Flora International, Island Conservation, the International Union for Conservation of Nature, The Nature Conservancy and the World Resources Institute. International NGOs play an important role in channeling resources to local CSOs in the region. Although this support is typically in the form of funding and technical assistance for project implementation, there are instances of international NGOs supporting institutional capacity development. For example, the American Bird Conservancy helps organizations managing reserves in the Latin American Bird Reserve Network to improve their financial systems and business practices.

Some Caribbean CSOs, however, are concerned about what they perceive to be predatory behavior and competition for donor resources from some international NGOs. Resource competition is reinforced by the donor practice of channeling investments through external organizations rather than through Caribbean intermediaries. In some instances, the agenda of international conservation NGOs is felt to be at odds with that of local NGOs and communities in the Caribbean. The policies and practices of international NGOs may impact negatively on local NGOs by disrupting operations, draining capacity and distracting or re-directing focus. The project will pay particular attention to ensuring that, where international NGOs are involved in collaborative actions or as service providers, partnerships with local CSOs and communities are equitable.

## **3.3 Vulnerable Groups**

As discussed in the previous section, project activities, including those of the sub-projects, will be taking place in a context of increased economic vulnerability and dependence on natural resources, meaning that sub-grantees will need to identify vulnerable groups within the local communities at the sites where they plan to implement activities and involve them throughout the project cycle. In this way, risks of elite capture and social exclusion can be mitigated. Stakeholder analysis will be conducted as part of the development of the SEP for each individual sub-project. This section summarizes the main types of vulnerable group that may be present at each sub-project site. Not all of these groups will necessarily be present at every site. Similarly, 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. The agricultural sector, which is the main source of income and employment in rural communities in and around many of the priority sites where the project will focus, is gender-segregated, with men dominating land ownership, access to credit, and other means of production.

At the household level, access to water has a gendered dimension, with women bearing the burden of water management, particularly in households without access to pipe-borne water or in times of water scarcity. 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 project will need to ensure that both men's and women's voices are heard in consultations, especially those influencing the selection of sub-project activities or beneficiaries. This may require separate consultations to be held for women. The project will also need to approach the selection and design of sub-projects with a gender lens, to promote gender equity among the sub-grantees themselves, as well as among the beneficiaries of their sub-projects.

### **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 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.

### **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 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 the selection and design of sub-projects 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. In Jamaica, for instance, there are existing initiatives to engage unemployed young people and prevent them becoming victims or perpetrators of crime, such as Police Youth Clubs and 4-H Clubs; this experience can be drawn on by the project.

### **Elderly people**

There is a long-term trend of population ageing 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. Sub-grantees will need to pay attention to this risk during design and implementation of sub-projects.

### **LGBTI persons**

LGBTI persons are particularly vulnerable in the Caribbean islands. 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 are also high levels of homophobic and transphobic violence in several project countries, in particular Jamaica. These factors raise issues about how to identify LGBTI persons, without placing them at risk of discrimination, prosecution or violence. Sub-grantees will be required to undertake stakeholder mapping 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. In this context, sub-grantees must take account of 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**

As the least-developed country in the Americas, Haiti has the highest poverty rate among the project countries, with more than half of the population living below the national income poverty line. This rate is 29 percent in Dominica and around 20 percent in the other six countries. 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. The level of inequality, as measured by the Gini Coefficient, is quite significant in some national contexts, especially The Bahamas and Haiti.

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. Sub-grantees must, therefore, 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 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, due to them not owning land. Therefore, sub-grantees will need to pay particular attention to identifying and engaging landless households when designing and implementing activities that trigger the application of ESS5 on land acquisition, restrictions on land use and involuntary resettlement.

### **Jamaican Maroons**

Jamaican Maroons are descendants of escaped African slaves who established free communities during the colonial period. Jamaican Maroons have preserved distinct customs and practices. To some extent, the maroons are autonomous and separate from mainstream Jamaican culture, and certain rights to self-government and land are recognized under Jamaican law. There are four officially recognized maroon settlements: Accompong Town; Moore Town; Charles Town; and Scott's Hall. The former is located within Cockpit Country priority site; the latter three are located in and around the Blue and John Crow Mountains Protected National Heritage and surroundings priority site. Sub-projects at these sites will need to develop particular strategies for engaging Jamaican Maroon communities, and be especially alert to the possibility that sub-project sites may have tangible and/or intangible cultural heritage that triggers the application of ESS8 on cultural heritage.

### **Haitian immigrants**

There is a long history of immigration from Haiti to the Dominican Republic, as people traveled from the relatively poor Haiti to its relatively prosperous neighbor in search of employment in the agriculture and construction sectors. The rate of immigration increased enormously following the Haitian earthquake in 2010. There are now estimated to be around 2 million persons of Haitian origin living in the Dominican Republic, around 70 percent of whom have lived there for less than 10 years. The vast majority of these persons are undocumented, which creates considerable challenges for them to access education and healthcare services, or to find employment other than manual labor. Around two-thirds of Haitian immigrants are male, and three-quarters are aged between 18 and 39 years old. People of Haitian origin are concentrated in areas along the international border with Haiti, especially in Pedernales province, where there is a concentration of priority KBAs. Haitian immigrants are subject to discrimination, and there are reports of targeted acts of violence against members of this group. Sub-grantees designing and implementing sub-projects in areas with Haitian immigrants will need to pay particular attention to the increased vulnerability of this group. A particular consideration is that undocumented migrants who do not own land and face uncertainty about their future may be less interested in participating in long-term, place-based conservation actions.

## 4. STAKEHOLDER ENGAGEMENT PROGRAM

### 4.1 Proposed Approach to Stakeholder Engagement

Stakeholder engagement is key to ensuring that the activities of the project are environmentally and socially sustainable, and do not have any adverse impacts, whether anticipated or unanticipated. Hence, stakeholder engagement is an essential element of successful project design and delivery.

The project design involves the award of multiple sub-grants, to support sub-projects implemented by CSOs under the supervision of the CEPF Secretariat and RIT. Through these sub-projects, conservation actions will be implemented by CSOs in and around priority KBAs. These conservation actions comprise the bulk of the project activities that could have varying degrees of environmental<sup>3</sup> and social risks and impacts. In accordance with the ESMF for the project, all sub-grantees will be required to prepare a sub-project-level SEP, including a grievance redress mechanism (GRM) for stakeholders. The SEP should be proportionate to the scope and risk level of the sub-project. It should identify the different stakeholders and describe how engagement with each will take place. The SEP also detail how the sub-grantee will monitor and evaluate the effectiveness of its stakeholder engagement activities.

The stages of each subproject's life cycle in which consultations will take place, and the timeframe, will be defined in the sub-project-level SEPs, which will be developed prior to the approval of each sub-grant.

As reflected in Table 5, consultation and preparation of ESF instruments at the sub-grantee level, including the preparation of the sub-project-level SEP will take place during sub-project preparation and during the three months prior to the start of sub-projects.

At the project and sub-grantee level, consultations will take place on an ongoing basis and throughout the project life cycle. Major topics will be the implementation and results of the Environmental and Social Standards instruments relevant to the project, promotion and functioning of the GRM, aspects of Social Inclusion, results and opportunities for improvement, among others.

The CEPF Secretariat (or the RIT, in the case of sub-grants up to \$50,000) will provide each sub-grantee with a copy of ESS10 from the World Bank website, together with an internal guidance note on the application of this standard in the context of the CEPF project. Sub-grantees will also be provided with a template for the sub-project-level SEP (Annex 4), together with worked examples. A simplified template will be made available for low-risk sub-projects (Annex 5). Sub-grantees will have the option of preparing the SEP in English, French or Spanish; templates in all three languages will be made available on the CEPF website.

### 4.2 Proposed Strategy for Information Disclosure

The means by which information will be disclosed with project stakeholders are set out in Table 3. Each sub-grantee will be required to disclose information about their sub-project, to allow stakeholders to understand the risks and impacts of the sub-project, and potential opportunities. The sub-grantee will

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<sup>3</sup> Activities proposed are not likely to have significant or irreversible environmental impacts.

provide stakeholders with access to the following information, as early as possible, according to a timeline that enables meaningful consultations with stakeholders on sub-project design:

- (a) The purpose, nature and scale of the sub-project.
- (b) The duration of proposed sub-project activities.
- (c) Potential risks and impacts of the sub-project on local communities, and proposals for mitigating them, highlighting potential risks and impacts that might disproportionately affect vulnerable groups and describing the differentiated measures taken to avoid and minimize them.
- (d) The proposed stakeholder engagement process, highlighting the ways in which stakeholders can participate.
- (e) The time and venue of any proposed public consultation meetings, and the process by which meetings will be notified, summarized, and reported.
- (f) The process and means by which grievances can be raised and will be addressed.

The information will be disclosed in relevant local languages and in a manner that is accessible and culturally appropriate, taking into account any specific needs of groups that may be differentially or disproportionately affected by the project or groups of the population with specific information needs (e.g., due to disability, literacy, gender, mobility, differences in language or accessibility).

The sub-grantee will incorporate stakeholder feedback into the final version of the SEP. The CEPF Secretariat (or the RIT), will review the SEP prior to approving the grant for contracting. The final, approved SEP, together with other applicable environmental and social instruments, will then be publicly disclosed on the CEPF website.

**Table 3. Means to Consult with Project-affected Stakeholders**

<b>Project stage</b>	<b>List of information to be disclosed</b>	<b>Method proposed</b>	<b>Timetable/ locations/ dates</b>	<b>Target stakeholders</b>	<b>Responsibility</b>
Project preparation	ESMF, SEP, Labor Management Procedures (LMP), Environmental and Social Commitment Plan (ESCP)	Virtual with the use of GoToMeeting  Disclosure of documents via CEPF website	September – October 2020. (see Table 2)	Governments and CSOs, including those representing women, LGBTI, disabled, youth, among others	CEPF Secretariat
Implementation at the project level	Reports on implementation; updated ESS instruments	Disclosure of documents via CEPF website	Throughout project duration	Governments and CSOs, including those representing women, LGBTI, disabled, youth, among others	CEPF Secretariat

<b>Project stage</b>	<b>List of information to be disclosed</b>	<b>Method proposed</b>	<b>Timetable/ locations/ dates</b>	<b>Target stakeholders</b>	<b>Responsibility</b>
Implementation at the sub-project level	ESS instruments relevant to the sub-grant, implementation reports	TBD prior to the award of sub-grants, and as part of the sub-project-level SEP	TBD prior to the award of sub-grants, and as part of the sub-project-level SEP	Identified vulnerable groups and as part of the sub-project-level SEP	Sub-grantees (names TBD, prior to the award of sub-grants, and as part of the sub-project-level SEP)

### 4.3 Proposed Strategy for Consultation

All sub-grantees will undertake a process of meaningful consultation in a manner that provides affected communities and other stakeholders with opportunities to express their views on the environmental and social risks and impacts of the sub-project, and mitigation measures (including the GRM), and allows the sub-grantee to consider and respond to them. Meaningful consultation will begin during the sub-project design phase and continue throughout sub-project implementation, as the nature of issues, impacts and opportunities evolves.

Consultations may take the form of one-on-one interviews, small-group consultations, public meetings or stakeholder workshops. Consultations may be in-person or virtual. Indeed, virtual meetings may be a necessity, as long as social distancing, travel restrictions and other measures to control transmission of the COVID-19 virus remain in place. For any possible face-to-face consultations, the sub-grantees will ensure that that project adheres to proper physical distancing protocols, such as those established by the WHO. Whichever forms of consultation are used, attention will be given to using local languages, and ensuring that voices of men and women are both heard. In some contexts, this may require holding separate consultations for men and women. Stakeholder engagement will also be used to ensure that all vulnerable groups within the project area are identified and consulted.

In context of COVID-19, the project will follow the guidance of the Technical Note: “Public Consultations and Stakeholder Engagement in WB-supported operations when there are constraints on conducting public meetings, March 20, 2020”.

### 4.4 Proposed Strategy to Incorporate the Views of Vulnerable Groups

While Section 3.3 lists some general categories of vulnerable groups, the specific vulnerable groups potentially affected by each sub-project will need to be identified in each sub-project-specific SEP. Sub-grantees will need to propose an approach for stakeholder consultation that includes appropriate methods for incorporating the views of identified vulnerable groups, using culturally appropriate methods, with simple, non-technical language, graphic illustrations, and, where relevant, translations and sign language. This may include having separate consultations for certain groups. In the context of COVID-

19, the potentially more limited access of vulnerable groups to the technology required to participate in virtual consultations (e.g., cell phones, internet-enabled devices, etc.) should be taken into account.

## 4.5 Resources, Roles and Responsibilities

Overall responsibility for implementation and monitoring of the project-level SEP rests with the Project Implementation Unit at the CEPF Secretariat. The CEPF Secretariat will have direct responsibility for ensuring that CSOs receiving “large grants” (i.e., grants over \$50,000) prepare and implement sub-project-specific SEPs that comply with the requirements of ESS10. Under the supervision of the CEPF Secretariat, the RIT at CANARI will have responsibility for ensuring that CSOs receiving “small grants” (i.e., grants of up to \$50,000) do so. The roles of the different parties involved in the preparation and implementation of SEPs are set out in Table 4.

**Table 4. Roles of Parties Involved in the Preparation and Implementation of SEPs**

Role	Responsible party (large grants)	Responsible party (small grants)
<b>Project Level</b>		
Provision of guidance to sub-grantee on compliance with ESS10 requirements	CEPF Secretariat	RIT
Preparation of SEP templates, guidance and worked examples (in English, French and Spanish)	CEPF Secretariat	CEPF Secretariat
<b>Sub-project Level</b>		
Preparation and disclosure of draft SEP	Sub-grantee	Sub-grantee
Public consultation, engaging identified local stakeholders and vulnerable groups	Sub-grantee	Sub-grantee
Incorporation of stakeholder feedback into sub-project design	Sub-grantee	Sub-grantee
Review and approval of SEP and public disclosure on CEPF website	CEPF Secretariat	RIT
Semi-annual reporting on implementation of stakeholder engagement measures set out in SEP	Sub-grantee	Sub-grantee
Monitoring and supervision of sub-grantee compliance with ESSs	CEPF Secretariat (with assistance from RIT)	RIT (with supervision from CEPF Secretariat)

### Budget

Table 5 presents an indicative budget for the implementation of the SEP.

**Table 5. Budget and Implementation Schedule for SEP Implementation**

Action	Implementation Schedule	Cost Estimate	Funding Source
<b>Project Preparation</b>			
Preparation of draft ESMF and SEP	June-September 2020	CEPF Secretariat staff time: c.\$20,000	CEPF operating costs

<b>Action</b>	<b>Implementation Schedule</b>	<b>Cost Estimate</b>	<b>Funding Source</b>
Translation of draft ESMF into French and Spanish	August-September 2020	Translation services: c.\$8,000	CEPF operating costs
Virtual consultation meetings	September-October 2020	Consulting services and CEPF Secretariat staff time: c.\$7,000	CEPF operating costs
<b><i>Implementation at the Project Level</i></b>			
Screening of sub-project applications	Within 90 days following each call for proposal deadline	Estimated 5% of CEPF Secretariat and RIT budgets: \$180,000	Project budget
Provision of guidance to sub-grantees on impacts/risks and mitigation measures, including SEP preparation	Within 120 days following each call for proposal deadline	Estimated 5% of CEPF Secretariat and RIT budgets: \$180,000	Project budget
Review of grievances, including field visits to establish facts and monitor implementation of agreed response	Initial review within 5 working days of receipt; field visit (if required) within 90 days of receipt	Estimated 2% of CEPF Secretariat and RIT budgets: \$72,000	Project budget
Review of environmental and social monitoring reports submitted by sub-grantees	Within 30 days of report submission	Estimated 3% of CEPF Secretariat and RIT budgets: \$108,000	Project budget
Site visits to selected sub-projects	From year two of the project onwards	Estimated 5% of CEPF Secretariat budget and 15% of RIT budget: \$330,000	Project budget
Monitoring of grievance email accounts	Throughout project	Negligible	N/A
Review of final completion reports submitted by sub-grantees	Within 30 days of report submission	Estimated 2% of CEPF Secretariat and RIT budgets: \$72,000	Project budget
Preparation of sub-project evaluation reports	Within 90 days of end of sub-project	Estimated 3% of CEPF Secretariat and RIT budgets: \$108,000	Project budget
RIT supervision missions	Twice per year	Estimated 10% of CEPF Secretariat budget: \$330,000	Project budget
Independent evaluation of the RIT	During final year of project	Estimated \$30,000	Project budget
Design and delivery of RIT training	Within 90 days of start of RIT grant	Estimated 4% of CEPF Secretariat budget: \$84,000	Project budget
Development of online guidance and training materials for sub-grantees	Initial development during first year of project; update during years two to four	Estimated 1% of CEPF Secretariat budget: \$21,000	Project budget



<b>Action</b>	<b>Implementation Schedule</b>	<b>Cost Estimate</b>	<b>Funding Source</b>
Design and delivery of training for sub-grantees	On as-needs basis throughout project	Estimated 5% of RIT Secretariat budget: \$105,000	Project budget
<b><i>Implementation at the Sub-project Level</i></b>			
Preparation of SEP and consultation with stakeholders during sub-project preparation	During three months prior to start of sub-project	Estimated \$5,000 per sub-project x 80 sub-projects: \$400,000	Sub-grantee in-kind contribution
Implementation of mitigation measures for sub-projects	Throughout sub-project	Estimated 10% of total budget of sub-projects: \$880,000	Project budget
<b>TOTAL</b>		<b>\$2,605,000</b>	

## 5. GRIEVANCE REDRESS MECHANISM

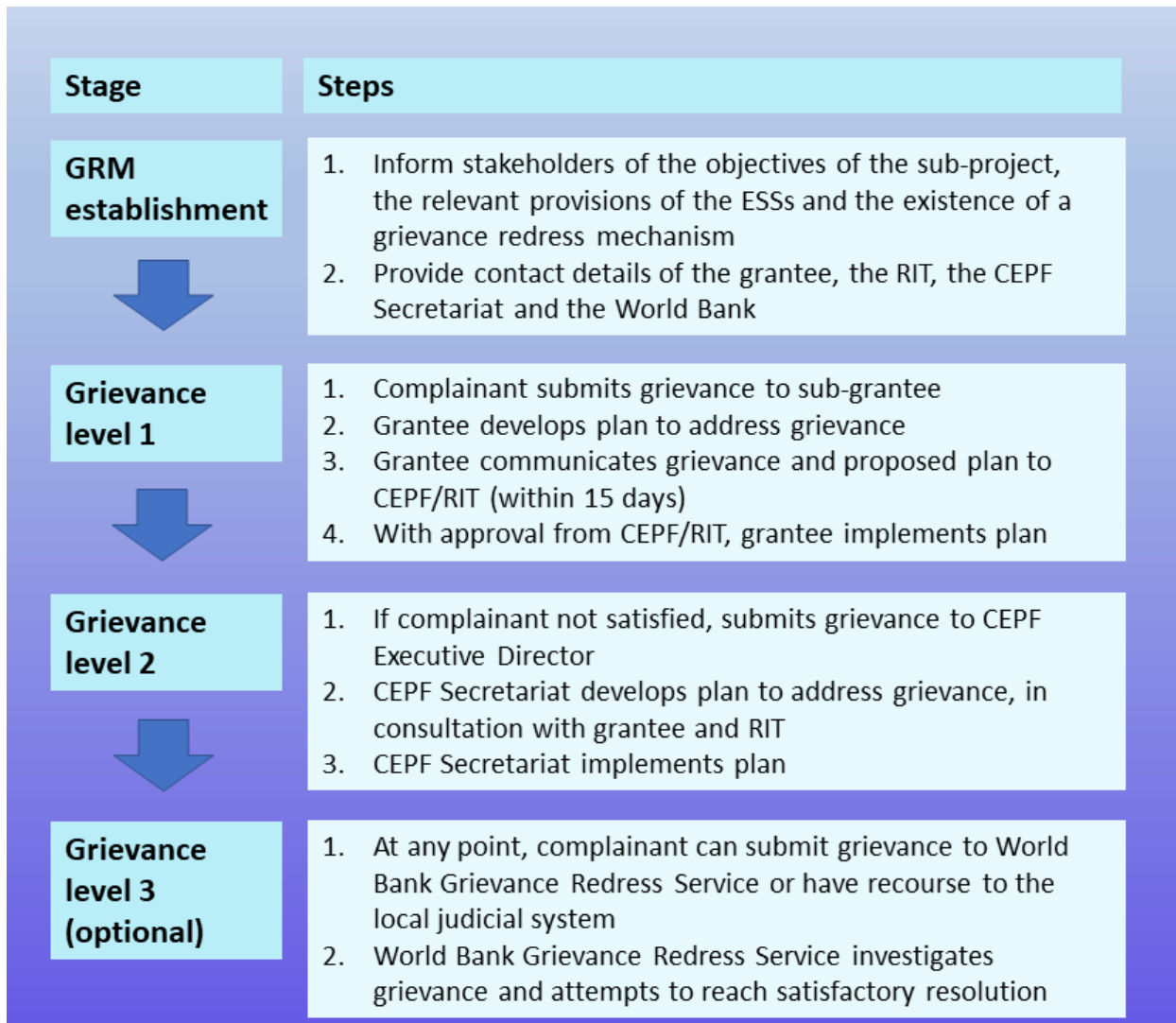
### 5.1 Sub-project Level Grievance Redress Mechanism

Each sub-grantee will be responsible for establishing a GRM for community members and other stakeholders. The GRM will provide a mechanism whereby affected persons may raise a grievance, at any time, and whereby this grievance may be considered and satisfactorily resolved. Where possible, each GRM will utilize existing formal or informal grievance mechanisms, supplemented as needed with sub-project-specific arrangements designed to resolve disputes in an impartial manner.

The sub-grantee will inform stakeholders of the objectives of the sub-project, the relevant provisions of the relevant ESSs, and the existence of a GRM. Contact information of the sub-grantee, the RIT and the CEPF Secretariat will be made publicly available using locally appropriate means, such as posters, community meetings or radio broadcasts.

In the first instance, grievances should be submitted to the sub-grantee. However, in case that the claimant is not comfortable in raising the matter directly with the sub-grantee, they should have the option of raising it with the RIT. Upon receiving a grievance, the sub-grantee (or RIT) should confirm receipt with the claimant.

**Figure 1. Grievance Redress Mechanism for Sub-projects**



Grievance can be made anonymously, and all reported grievances will be treated confidentially, and there will be no retribution to the claimant by the sub-grantee, RIT or CEPF Secretariat. Retribution to a claimant by the sub-grantee will be grounds for suspension or termination of the grant.

Any grievances received by the sub-grantee must be reported to the CEPF Secretariat (or the RIT, in the case of small grants) within 15 days, together with a proposed plan to address the grievance. The CEPF Secretariat will maintain a log of grievances, which it will include in its annual reporting to the World Bank; serious incidents will be reported within 15 days.

If claimants are not satisfied with the way in which their grievance has been handled by the sub-grantee, they will be given the opportunity to raise it with the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline consists of a toll-free telephone line (+1-866-294-8674) and a secure web portal (<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>) that allows grievances to be made anonymously. Claimants can also put their grievance to the World Bank’s Grievance Redress Service. (Figure 1). The RIT and CEPF Secretariat will aim to resolve all grievances within 60 days of receipt.

## **The World Bank Grievance Redress Service (GRS)**

The claimant 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 project's grievance mechanism has first been utilized without an acceptable resolution.** World Bank Procedures require the claimant 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-redress-service#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](mailto: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

### **Special provisions related to gender-based violence (GBV)**

Special provisions will be made for grievances related to GBV, due to the need for complaints to be handled by persons with specialist training and adopting a survivor-centered approach. The CEPF Secretariat will maintain a list of GBV service providers, vetted by the World Bank, for each project country. This list will be provided to sub-grantees, prior to the start of sub-project activities. They will be required to include the contact details of the relevant GBV service provider in their GRMs for project workers and for community members and other stakeholders. Survivors of GBV will have the option of contacting the GBV service provider directly, who will, in-turn, inform the CEPF Secretariat and the World Bank, **WITH THE EXPRESS CONSENT OF THE SURVIVOR.**

## 5.2 Project-level Grievance Redress Mechanism

In addition to the GRMs that will be established for individual sub-projects, there will also be GRMs at the project level. Because project activities will involve visits to local communities by RIT and CSAT staff and meetings with local people, which could present risks to community health and safety, CANARI and INTEC have prepared simplified Stakeholder Engagement Plans, which include GRMs. These GRMs are streamlined, considering the limited scope of project activities at the community level and the low risk of adverse social impacts. The key measures will be to explain the purpose of any visit to stakeholders, explain the existence of the GRM and make available contact information of CANARI/INTEC and the CEPF Secretariat. This will be done through a printed handout or other locally appropriate means.

Grievances that relate to project workers will be handled by a separate mechanism which is included as part of the project's LMP.

### **Objectives of the Project-level GRM**

The objectives of the project-level GRM are as follows:

1. Ensure that the World Bank ESSs are adhered to in all projects 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.

**Grievance Redressal Process**

The key stages of the project’s grievance redressal process are described in the sections that follow.

**Figure 2. Project-level Grievance Redress Mechanism**

	1. Receive grievance
<b>Level One</b>	2. Acknowledge grievance
	3. Register/log grievance
	4. Screen grievance
	5. Investigate grievance
	6. Resolution
<b>Level Two</b>	CEPF Executive Director
<b>Level Three</b>	Local Courts as applicable. At any point the claimant can submit a grievance to the World Bank GRS.

**First Level of Redress**

**1. Receive Grievance**

All complaints should be received by the Grant Director at the Project Implementation Unit. This includes the project contact personnel. Complaints can be made in person, writing, verbally over the phone, by email or any other suitable medium. The point of receipt of complaints is listed below:

Contact	
Name	Michele Zador
Title	Grant Director
Telephone	+1-703-341-2635
Email address	<a href="mailto:mzador@cepf.net">mzador@cepf.net</a>
Physical address	Critical Ecosystem Partnership Fund, 2011 Crystal Drive, Suite 600, Arlington, VA 22202

**All grievances received by should be forwarded to the Grant Director within 24 hours of receipt.**

Complaints can be made in person, writing, verbally over the phone, by email or any other suitable medium. The person receiving the complaint will try to obtain relevant information regarding the grievance and the complainant and will immediately inform the Grant Director at each the Project Implementation Unit, using a standard Grievance Information Form (GIF) as given in Annex 6.

## **2. Acknowledge Grievance**

All grievances will be acknowledged by telephone or in writing by the Grant Director using the Grievance Acknowledgment Form (Annex 7) 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 Grant Director will seek to ensure the speedy resolution of the grievance. If the complaint cannot be resolved at this level, it is taken to the next level.

## **3. Register/Log Grievance**

After receiving and recording the grievance, it will be registered in the Grievance Redressal Registration and Monitoring Sheet (GRRMS) (Annex 8).

## **4. Screen Grievance**

The Grant Director reviews the complaint and assigns a grievance owner. The complaint will be forwarded to the grievance owner who will be responsible investigating the claim and liaising with both the aggrieved party and project staff in order to come to a mutually acceptable resolution. The grievance owner will be given a specific timeline for resolving the claim. Meetings or calls with the complainant will be held, if necessary, in an attempt to resolve the matter.

## **5. Investigate Grievance**

The grievance owner will investigate the complaint. This investigation will include, but is not limited to, meetings/calls with the complainant, site visits, meetings/interviews with project staff and collection of relevant documentation and other forms of evidence. For meetings, the deliberations and decision will be recorded on the Meeting Record Form included as Annex .9 Community representatives or representatives of the complainant will be allowed to sit in on these meetings.

## **6. Resolution**

The resolution at the first tier should normally be completed within 15 working days of receipt of grievance and notified to the concerned party through the Disclosure Form, included as Annex 10. If the grievance is not resolved within this period, it can be referred to the next level of the GRM. However, once it is determined that progress is being made towards a resolution, the grievance will be retained at this first level. The complainant will be informed of this decision and an estimated time for the resolution of the matter will be given either verbally or in writing. If the issue cannot be resolved within 25 working days, it will be transferred to the next level. Once a resolution has been agreed and accepted, the complainant's acceptance will be obtained on the Disclosure Form included as Annex 10. If the proposed resolution is not accepted the grievance will be escalated to the second level.

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

## Second Level of Redress

If claimants are not satisfied with the way in which their grievance has been handled by at level one, they will be given the opportunity to raise it directly with 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>).

The Executive Director will hold the necessary meetings with the complainant and the concerned project staff and attempt to find a solution acceptable at all levels. The Executive Director will record the minutes of the meeting in the Meeting Record Form included as Annex 9. The decision of the Executive Director will be communicated to the complainant formally and if she/he accepts the resolutions, the complainant's acceptance will be obtained on the Disclosure Form, following the template in Annex 10.

If the complainant does not accept the solution offered by the Executive Director, then the complaint is passed on to the third level. Alternative, the complainant can access the third 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 is being made to resolve the matter may be retained at this level for a maximum of 60 working days.

## Third Level of Redress

If the complainant does not agree with the resolution at the second level, or there is a time delay of more than 60 working days in resolving the issue, the complainant can opt to consider taking it to the third level. This level involves the complainant taking legal recourse within the local courts when applicable.

## World Bank Grievance Redressal Service (GRS)

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 project's grievance mechanism has first been utilized without an acceptable resolution.** World Bank Procedures requires 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 URL link: <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service#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](mailto: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 GRM will specify an individual who will be responsible for dealing with any gender-based violence (GBV) issues, should they arise. A list of GBV service providers will be kept available by the project. The

GRM should assist GBV survivors by referring them to GBV Services Provider(s) for support immediately after receiving a complaint directly from a survivor.

If a GBV related incident occurs, it will be reported through the GRM, as appropriate and keeping the survivor information confidential. Specifically, the GRM will only record the following information related to the GBV complaint:

- The nature of the complaint (what the complainant says in her/his own words without direct questioning).
- If, to the best of their knowledge, the perpetrator was associated with the project.
- If possible, the age and sex of the survivor.

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

- Refer complainants to the GBV Services Provider.
- Record the resolution of the complaint.

The GRM will also immediately notify both the Implementing Agency and the World Bank of any GBV complaints **WITH THE CONSENT OF THE SURVIVOR**.

In addition to the project's main GRM channel, the GBV survivor can also approach the World Bank directly, especially if the alleged perpetrator ends up being someone directly responsible for managing the GRM. The affected person can approach the Task Team Leader (TTL), the World Bank Caribbean country director, or any other World Bank staff within the task team with whom he/she feels comfortable sharing.

### **Building Grievance Redress Mechanism Awareness**

The Project Implementation Unit will initially brief all project staff, and all sub-grantees, including any consultants and contractors, on the project-level GRM and explain to them the procedures and formats to be used including the reporting procedures.

Project staff implementing project-level activities in the target countries of the project will be responsible for briefing concerned stakeholders about the existence of the project-level GRM and the means by which grievances can be lodged; various media will be used- as detailed in previous sections of the SEP. The project-level GRM will also be published on the CEPF and CANARI websites. The GRM will be translated into French and Spanish.

### **7. Monitoring and Reporting**

As mentioned in Tables 4 and 5, monitoring will take place on an ongoing basis, as follows:

- Monitoring and Semi-annual reporting on implementation of stakeholder engagement measures set out in SEP.
- Monitoring of the GRM.
- Monitoring and supervision of sub-grantee compliance with ESSs instruments.

The main monitoring indicators include:

- Number of consultations held.
- Number of actions proposed by beneficiaries that have been incorporated in project design or in design of project activities, and its implementation methodology.
- Share of citizens (from women/vulnerable/marginalized groups) who participated in consultations (%).
- Grievances registered related to delivery of project benefits that are addressed and communicated back to the concerned citizens (%).



## Annex 1: List of Organizations Consulted during Preparation of the Ecosystem Profile

Academia de Ciencias de la República Dominicana

Agence Française de Développement

Agence Nationale des Aires Protégées d'Haïti (ANAP)

Agencia Española de Cooperación Internacional para el Desarrollo (AECID)

Alianza ONG

Bahamas National Trust

BirdLife Jamaica

BirdsCaribbean

Bureau de Conseil et Services Humanitaires (BUCOSEH)

Caribbean Biodiversity Fund (CBF)

Caribbean Coastal Area Management Foundation (C-CAM)

Centre for Resource Management and Environmental Studies (CERMES), University of the West Indies - Cave Hill

Centro Agronómico Tropical de Investigación y Enseñanza – sucursal República Dominicana

Centro de Investigaciones de Biología Marina

Centro para el Desarrollo Agropecuario y Forestal (CEDAF)

Centro para la Conservación y Ecodesarrollo de la Bahía de Samaná y su Entorno (CEBSE)

Consejo Nacional para el Cambio Climático y el Mecanismo de Desarrollo Limpio

Consortio Ambiental Dominicano (CAD)

Department of Biological and Chemical Sciences, Faculty of Science and Technology, University of the West Indies - Cave Hill

Department of Life Sciences, University of the West Indies – Mona

Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ)

Diamond Village Community Heritage Organization

Durrell Wildlife Conservation Trust

Environmental Awareness Group (EAG)

Environmental foundation of Jamaica (EFJ)

Environmental Solutions Ltd  
Fauna & Flora International (FFI)  
Fondation Macaya pour le Développement (FMD)  
Fondation pour la Biodiversité Marine  
Fondation Seguin  
Fondo Pro Naturaleza (PRONATURA)  
Food and Agriculture Organization (FAO)  
Fundacion Ecologica Maguá  
Fundación José Delio Guzmán  
Fundación Loma Quita Espuela  
Fundación PROGRESSIO  
Fundación Propagás  
Fundación Sur Futuro  
Grenada Dove Conservation Project  
Grupo Jaragua Inc. (GJ)  
Grupo Social Ecológico  
HELVETAS Swiss Intercooperation  
Imperial College of London  
Institute for Sustainable Development, University of the West Indies – Mona  
Instituto Dominicano de Desarrollo Integral (IDDI)  
Instituto Tecnológico de Santo Domingo  
Inter-American Development Bank (IDB)  
Island Conservation  
Jamaica Conservation and Development Trust  
Jamaica Environment Trust (JET)  
Jamaica's Forestry Department  
KIUNZI  
Le Nouvelliste Haïti  
Ministère de l'Environnement Haïti (MDE)

Ministerio de Educación Superior, Ciencia y Tecnología de la República Dominicana

Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana

Ministry of Agriculture and Fisheries, Division of Forestry, Wildlife, and National Parks, Government of Dominica

Ministry of Agriculture, Fisheries, Physical Planning, Natural Resources and Co-operatives, Department of Forestry, Government of Saint Lucia

Ministry of Agriculture, Industry, Forestry, Fisheries and Rural Transformation, Department of Forestry, Government of St. Vincent and the Grenadines

Ministry of Agriculture, Lands, Forestry, Fisheries and The Environment, Department of Forestry, Government of Grenada

Ministry of Economic Growth and Job Creation, Government of Jamaica

Ministry of Education, Innovation, Gender Relations and Sustainable Development, Department of Sustainable Development, Government of Saint Lucia

Ministry of Health, Wellness and the Environment, Government of St. Vincent and the Grenadines

Ministry of Industry, Commerce Agriculture and Fisheries, Fisheries Division, Government of Jamaica

Museo Nacional de Historia Natural de la República Dominicana

National Environment and Planning Agency (NEPA), Government of Jamaica

National Parks, Rivers and Beaches Authority of St. Vincent and the Grenadines

National Protected Area Trust Fund (Jamaica)

Natural History Museum of Jamaica - Institute of Jamaica

Negril Environment Protection Trust (NEPT)

Nevis Water Department

Observatoire National de l'Environnement et de la Vulnérabilité

Organisation pour le Développement de la Forêt des Pins (OPDFM)

Panos Caribbean

Parc National Naturel Macaya

Planning Institute of Jamaica (PIOJ)

Pontificia Universidad Católica Madre y Maestra (PUCMM)

Red Nacional de Apoyo Empresarial a la Protección Ambiental (EcoRed)

Réseau d'Enseignement Professionnel et d'Interventions Ecologiques (REPIE)

Russa García and Asociados

Sociedad Ornitológica de la Hispaniola

Société Audubon Haïti (SAH)

The Bahamas Environment, Science and Technology Commission

The Nature Conservancy (TNC)

United Nations Development Programme – Haiti

United Nations Development Programme – Jamaica

United Nations Development Programme Barbados and the OECS

United Nations Environment

United States Agency for International Development (USAID)

Universidad Nacional Pedro Henríquez Ureña (UNPHU)

University of Florida

Urban Development Corporation (UDC)

Windsor Research Centre (WRC)

World Bank Group

## Annex 2: List of Persons Invited to Comment on the Draft ESMF

Organization	Position (if known)	Participated in consultations
<b>Antigua and Barbuda</b>		
Environmental Awareness Group (EAG)	Coordinator of Offshore Islands Conservation Programme	
Fauna & Flora International (FFI)	Senior Conservation Biologist	Yes
Fauna & Flora International (FFI)	Programme Coordinator	Yes
Integrated Health Outreach (IHO)		Yes
Integrated Health Outreach (IHO)		Yes
<b>The Bahamas</b>		
Island Conservation	Bahamas Programme Manager	
The Bahamas Environment, Science and Technology Commission		
The Bahamas Environment, Science and Technology Commission		
The Bahamas Environment, Science and Technology Commission		
The Bahamas National Trust	Deputy Executive Director	
The Bahamas National Trust	Grants and Project Officer	Yes
<b>Barbados</b>		
Caribbean Youth Environmental Network		Yes
<b>Dominican Republic</b>		
Academia de Ciencias de la República Dominicana		
AFS Interculture, Inc.		Yes
Agence Française de Développement (AFD)		
AgroFrontera		Yes
Alianza ONG		
Amigos Siempre Amigos (ASA)		
Asociación Dominicana De Sordociegos Inc. (ADSOC)		
BEST BUDDIES RD		
Centro Agronómico Tropical de Investigación y Enseñanza – sucursal República Dominicana		
Centro de Atención Integral para la Discapacidad		
Centro de Investigaciones de Biología Marina (CIBIMA-UASD)		

<b>Organization</b>	<b>Position (if known)</b>	<b>Participated in consultations</b>
Centro de Investigaciones de Biología Marina (CIBIMA-UASD)		
Centro para el Desarrollo Agropecuario y Forestal (CEDAF)		Yes
Centro para la Conservación y Ecodesarrollo de la Bahía de Samaná y su Entorno (CEBSE)		Yes
Clave Verde Ecologde		Yes
Comité de Travestis Trabajadoras Sexuales Dominicanas (COTRAVETD)		
Consejo Nacional para el Cambio Climático y el Mecanismo de Desarrollo Limpio (CNCCMDL)		
Consortio Ambiental Dominicano (CAD)		Yes
Counterpart International		Yes
Federación Regional de Orgullo GTH (FROGHT)		
Floresta Inc.		Yes
Fondo Pro Naturaleza (PRONATURA)	Executive Director	
Fondo Pro Naturaleza (PRONATURA)		
Fondo Pro Naturaleza (PRONATURA)		
Fondo Pro Naturaleza (PRONATURA)		
Fundación Ecologica Maguá		Yes
Fundación José Delio Guzmán		
Fundación Jóvenes por el Progreso		
Fundación Loma Quita Espuela		Yes
Fundación Loma Quita Espuela		
Fundación PROGRESSIO		
Fundación Pronatura		Yes
Fundación Propagás		
Fundación Sur Futuro		
Fundación Sur Futuro		
GIZ		Yes
Grupo Jaragua Inc. (GJ)		Yes
Grupo Jaragua Inc. (GJ)		Yes
Grupo Jaragua Inc. (GJ)	Biologist	Yes
Grupo Jaragua Inc. (GJ)		Yes
Grupo Social Ecológico		
Grupo Social Ecológico		
Independent Consultant	Communication Consultant	
Instituto Dominicano de Desarrollo Integral (IDDI)		
Instituto Tecnológico de Santo Domingo		
ISER Caribe		Yes
Junior Chamber International (JCI), Dominicana		
Kiunzi		Yes

<b>Organization</b>	<b>Position (if known)</b>	<b>Participated in consultations</b>
Kiunzi		Yes
Ministerio de Educación Superior, Ciencia y Tecnología de la República Dominicana		
Ministerio de la Juventud (MJ)		
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana	Biodiversity Director	
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana	Biodiversity Technician	
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana	Genetic Resources Technician	
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana	Forestry Technician	
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana		Yes
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana		Yes
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana		
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana		
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana		
Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana		
Museo Nacional de Historia Natural de la República Dominicana		Yes
Museo Nacional de Historia Natural de la República Dominicana		
Museo Nacional de Historia Natural de la República Dominicana		
Pontificia Universidad Católica Madre y Maestra (PUCMM)		Yes
Pontificia Universidad Católica Madre y Maestra (PUCMM)		
Quisqueya Permacultura		Yes
Red Arrecifal Dominicana		Yes
Red de Voluntarios de ASA (REVASA)		
Red Nacional de Apoyo Empresarial a la Protección Ambiental (EcoRed)		Yes
Red Nacional de Apoyo Empresarial a la Protección Ambiental (EcoRed)		Yes
Russa García & Asociados	International Consultant	

<b>Organization</b>	<b>Position (if known)</b>	<b>Participated in consultations</b>
Sociedad Ornitológica de la Hispaniola (SOH Conservacion)	Project Coordinator	Yes
Sociedad Ornitológica de la Hispaniola (SOH Conservacion)		Yes
Sociedad Ornitológica de la Hispaniola (SOH Conservacion)		Yes
Sur Futuro		Yes
The Nature Conservancy		
The Nature Conservancy		
The Peregrine Fund		Yes
The Peregrine Fund		Yes
The Peregrine Fund		Yes
The Peregrine Fund		Yes
TRANSSA		
Universidad Nacional Pedro Henríquez Ureña (UNPHU)		
Universidad Nacional Pedro Henríquez Ureña (UNPHU)		
Universidad Nacional Pedro Henríquez Ureña (UNPHU)		
<i>Organization not specified</i>		Yes
<i>Organization not specified</i>		Yes
<i>Organization not specified</i>		Yes
<i>Organization not specified</i>		Yes
<i>Organization not specified</i>		Yes
<i>Organization not specified</i>		Yes
<i>Organization not specified</i>		Yes
<i>Organization not specified</i>		Yes
<b>Haiti</b>		
Agence Française de Développement (AFD)		
Agence Nationale des Aires Protégées d'Haïti (ANAP)	Technician	Yes
Agence Nationale des Aires Protégées d'Haïti (ANAP)	Technical Director	Yes
Agencia Española de Cooperación Internacional para el Desarrollo (AECID)		
Bureau de Conseil et Services Humanitaires (BUCOSEH)		
Centre de Facilitation pour le Développement Communautaire (CEFADEC)	Director	Yes
Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ)	Project Manager	
Fondation Macaya pour le Développement (FMD)		



<b>Organization</b>	<b>Position (if known)</b>	<b>Participated in consultations</b>
Fondation Macaya pour le Développement (FMD)		
Fondation Nouvelle Grand-Anse (FNGA)	Technical Director	Yes
Fondation Nouvelle Grand-Anse (FNGA)	Director	Yes
Fondation pour la Biodiversité Marine (FoProBiM)	Executive Director	Yes
Fondation Seguin		Yes
Fondation Seguin		Yes
Fondation Serovie		Yes
Food and Agriculture Organization (FAO)		
HELVETAS Swiss Intercooperation		
InterAmerican Development Bank (IDB)		
Jardin Botanique des Cayes	Director	Yes
Jeunes en Action pour le Sauvegarde de l'Écologie en Haïti (JACSEH)	Director	Yes
Le Nouvelliste Haïti		
Ministère de l'Environnement Haïti (MDE)	Director - West Department	
Ministère de l'Environnement Haïti (MDE)	Director of Biodiversity Department	
Ministère de l'Environnement Haïti (MDE)	Technician (Biodiversity)	
Ministère de l'Environnement Haïti (MDE)		
Ministère de l'Environnement Haïti (MDE)		
Ministère de l'Environnement Haïti (MDE)		
Ministère de l'Environnement Haïti (MDE)		
Ministère de l'Environnement Haïti (MDE)		
Observatoire National de l'Environnement et de la Vulnérabilité		
Organisation pour le Développement de la Forêt des Pins (OPDFM)	Technical Coordinator	Yes
Panos Caribbean		
Panos Caribbean		
Parc National Naturel Macaya		Yes
Réseau d'Enseignement Professionnel et d'Interventions Ecologiques (REPIE)		
Réseau d'Enseignement Professionnel et d'Interventions Ecologiques (REPIE)		
Réseau d'Enseignement Professionnel et d'Interventions Ecologiques (REPIE)		
Société Audubon Haïti (SAH)		Yes
Société Audubon Haïti (SAH)		
Société Audubon Haïti (SAH)		
The Nature Conservancy	Conservation Director	Yes

<b>Organization</b>	<b>Position (if known)</b>	<b>Participated in consultations</b>
UN Environment Haiti	Environmental Governance Specialist	
UN Environment Haiti		
UN Environment Haiti		
United Nations Development Programme- Haiti	Biodiversity Director	
United Nations Development Programme- Haiti	National Coordinator	
United States Agency for International Development (USAID)		Yes
University of Florida		
World Bank Group		
<b>Jamaica</b>		
BirdLife International	Regional Director	Yes
BirdLife Jamaica		Yes
BirdsCaribbean	Conservation Ecologist	Yes
Caribbean Biodiversity Fund (CBF)	National Conservation Trust Fund Specialist	
Caribbean Coastal Area Management Foundation (C-CAM)	Executive Director	Yes
Caribbean Natural Resources Institute (CANARI)		Yes
Caribbean Natural Resources Institute (CANARI)		
Caribbean Natural Resources Institute (CANARI)		
Department of Life Sciences, University of the West Indies - Mona	Senior Lecturer	
Department of Life Sciences, University of the West Indies - Mona	Senior Lecturer	
Environmental foundation of Jamaica (EFJ)	Chief Technical Director	Yes
Environmental Solutions Ltd	Managing Director	
Independent Consultant	Plant Conservation Consultant	
Jamaica Conservation and Development Trust (JCdT)	Executive Director	Yes
Jamaica Environment Trust (JET)	Chair, Board of Directors	
Forestry Department	Silviculture Manager	
Forestry Department	Principal Director of Forest Operation	
Ministry of Economic Growth and Job Creation, Climate Change Division, Government of Jamaica	Financial Advisor	
Ministry of Economic Growth and Job Creation, Climate Change Division, Government of Jamaica	Principal Director	
Ministry of Economic Growth and Job Creation, Environment and Risk Management Division, Government of Jamaica	Director of Natural Resources	

<b>Organization</b>	<b>Position (if known)</b>	<b>Participated in consultations</b>
Ministry of Industry, Commerce Agriculture and Fisheries, Fisheries Division, Government of Jamaica	Director, Aquaculture Branch	
National Conservation Trust Fund of Jamaica (NCTFJ) Ltd	Fund Manager	
GEF Small Grants Programme	National Coordinator	Yes
National Environment and Planning Agency (NEPA), Government of Jamaica	Chief Executive Officer	
Natural History Museum of Jamaica - Institute of Jamaica	Botanist	
Natural History Museum of Jamaica - Institute of Jamaica	Zoologist	
Planning Institute of Jamaica (PIOJ)	Sustainable Development Planning Officer	
The Nature Conservancy	Country Director	
Urban Development Corporation (UDC)		
Windsor Research Centre (WRC)	Wildlife Ecologist	
<i>Organization not specified</i>		Yes
<b>Saint Lucia</b>		
Fauna & Flora International (FFI)	Saint Lucia Projects Coordinator	
Independent Consultant	Biodiversity Specialist	
Ministry of Agriculture, Fisheries, Physical Planning, Natural Resources and Co-operatives, Department of Forestry, Government of St Lucia	Senior Wildlife and Conservation Officer	
Ministry of Education, Innovation, Gender Relations and Sustainable Development, Department of Sustainable Development, Government of Saint Lucia	Sustainable Development and Environment Officer	
<b>Saint Vincent and the Grenadines</b>		
Diamond Village Community Heritage Organization	Project Manager	
Ministry of Agriculture, Industry, Forestry, Fisheries and Rural Transformation, Department of Forestry, Government of St. Vincent and the Grenadines	Director of Forestry	
Ministry of Health, Wellness and the Environment, Government of St. Vincent and the Grenadines	GEF Operational Focal Point	
National Parks, Rivers and Beaches Authority of St. Vincent and the Grenadines	Director	

## Annex 3: Summary of Stakeholder Feedback on the Draft ESMF and SEP

During September and October 2020, a series of virtual consultations on the draft ESMF were held with 76 stakeholders from the seven project countries. During these consultations, stakeholders provided feedback on various aspects of the ESMF and SEP. The feedback was overwhelmingly positive and supportive of the project's goals and approach. Several stakeholders commented that the document was very well prepared. The following suggestions were made to strengthen the ESMF and SEP:

### Project Stakeholders

- Local schools should be added as a stakeholder, because of the important role they can play in raising environmental awareness.
- The list of stakeholders should distinguish between local and national government; both are important in the context of the project.
- The draft list of stakeholders includes private landowners; this category should be broadened to include other private sector actors. The private sector is an important stakeholder, especially outside of protected areas.
- With regard to the private sector, the tourism sector is so important at the national level, and is important to involve in the project.
- Do not forget those smaller NGOs that are in the project area, and that may be lagging behind due to not having an internal structure that facilitates the implementation of adequate safeguards for the protection of biodiversity. These organizations should be helped to strengthen their performance in environmental safeguards.

### Vulnerable Groups

- Persons with disabilities should be added to the list of vulnerable groups.
- In terms of vulnerable groups, could we please add people with (physical and mental) disabilities of all ages?
- The draft list includes young people; this category should be defined more precisely as unemployed young people. Among this group, unemployed young men in rural areas are especially vulnerable to crime. There are some initiatives, such as Police Youth Clubs and 4-H Clubs in Jamaica, that reach out to this group.
- When we talk about “young people”, I was thinking of unemployed youth (especially males) aged 16 to 25 years, who may have dropped out of school early. In other words, “at risk youth.”
- When talking about youth, it requires young people to get involved voluntarily and try to promote this volunteering by facilitating their involvement through existing national platforms and social organizations, such as community groups, churches, sports clubs, etc.
- Haitian immigrants in the Dominican Republic should be added to the list of vulnerable groups. Members of this group experience a high incidence of extreme poverty, and they live in areas along the international border, where there is a concentration of priority KBAs.

### ESMF

- CEPF needs to have a robust capacity building and mentoring effort so that local CSOs can successfully comply with the environmental and social standards. While the standards look

straightforward to read, they are challenging to plan for and implement. CEPF will need to provide a lot of capacity building, especially since CSOs in the hotspot do not have extensive experience with applying such robust and extensive standards.

- There is utility in having CSOs institutionalize the standards into their programs, because they have inherent value even beyond their importance to ensure the success of conservation projects.
- It seems that the risks identified are correct, but those additional risks that may appear in the execution phase (initial/mid-term/final) of the project must be re-evaluated in order to strengthen the possible mitigation measures.
- The list of risks and its mitigation plan should be reviewed periodically, together with project partners, and reflected in the periodic reports. If there is any change in the risk and its mitigation and response measures, the ESMF should be updated.
- We suggest taking advantage of and using the existing platforms and forums that are established at the national level and that involve civil society, to promote social accountability, such as the Dominican Forum on Climate Change, which currently has 28 civil society organizations and the private sector. The Secretariat is formed by INTEC, Participación Ciudadana and the Fundación Sur Futuro. In the same way, the project should take advantage of other spaces that have already been designed and that have the support of local organizations with strength and experience. This will be important for dissemination and communication about the project.
- It is worth noting that the project is required to commit to developing a culture of respect during project implementation, so that the rights of vulnerable groups that have been identified are not violated by any collaborator.
- I think ESS10 Stakeholder Engagement and Information Disclosure should be applied/included in varying degrees when tackling all the risks and impacts. In other words, communication and constant engagement with the community is a critical component, including listening to community members, taking views on board and making adjustments to the project if the need arises, due to local concerns.
- With regard to ESS3, one further mitigation measure could be to liaise with local regulatory authorities where necessary, e.g., the Pesticide Control Authority in Jamaica.
- With regard to ESS4, besides COVID-19, we need to make sure there are dengue fever prevention measures included in the projects.
- With regard to ESS5, the mitigation measures could include providing information on alternative livelihoods using natural resources responsibly and sustainably.
- With regard to ESS6, I am a little concerned about “Sustainable harvesting of living natural resources.” I am not sure what this would involve. Harvesting of what? Conserving habitat is essential for biodiversity – even plants that many might consider “bush” or “weeds” that attract butterflies, for example.
- With regard to ESS10, stakeholder engagement must embrace sustainability. Sometimes one or two people will take “ownership” of a project and afterwards there is a lack of continuity when there are no more funds. So, the project must be self-sustaining if possible, so that it can continue after the “life” of the grant. Also, a collective, “team” approach is needed that is truly inclusive, so that all the vulnerable groups listed are represented in decision-making and implementation.

- I see one risk as a lack of interest in the importance of biodiversity. “Why should I care? It doesn’t matter, it doesn’t affect me”. To combat this, some education will need to be done on the intricate relationships of living creatures, for example, why bees are important, what ecosystem services birds provide and how it helps humans. Stakeholders must properly understand *why* they should care.
- Stakeholders will need to understand the benefits for them and for the community, in terms of health, livelihoods, and quality of life for all.
- Other ways to engage stakeholders could include: use of Jamaican visual artists (e.g., via Kingston Creative or individually) and also musical performers (such as Voices for Climate Change) to strengthen messages, especially for younger audiences. Talk to all the church communities: short presentations at church services (many women and older people) and at Sunday schools for young ones.

## Annex 4: Stakeholder Engagement Plan template



### Stakeholder Engagement Plan

**Date**

**CEPF Grant xxxxx**

**Grantee**

***Sub-project Title***

**Sub-project Location**

## **Grant Summary**

1. Grantee organization.
2. Sub-project title.
3. Grant number.
4. Grant amount (US dollars).
5. Proposed dates of grant.
6. Countries where activities will be undertaken.
7. Date of preparation of this document.
  
8. **Introduction:** This section will briefly describe the sub-project, including design elements and potential social and environmental issues. Where possible, include maps of the sub-project site(s) and surrounding area.
  
9. **Summary of previous stakeholder engagement activities:** If you have undertaken any activities to date, including information disclosure and/or consultation, provide the following details:
  - Type of information disclosed, in what form (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated;
  - Locations and dates of any meetings undertaken to date;
  - Individuals, groups, and/or organizations consulted;
  - Key issues discussed and key concerns raised;
  - Grantee's response to issues raised, including any commitments or follow-up actions; and
  - Process undertaken for documenting these activities and reporting back to stakeholders.
  
10. **Project stakeholders:** This section will list the key stakeholder groups who will be informed and consulted about the project. These should include persons or groups who:
  - Are directly and/or indirectly affected by the project (i.e., project-affected parties) or have interests in the project that determine them as stakeholders (i.e., other interested parties); and
  - Have the potential to influence project outcomes.Key stakeholder groups may include affected communities, non-governmental organizations, local and national authorities, and private sector actors. They can also include politicians, companies, labor unions, academics, religious groups, national social and environmental public sector agencies, and media agencies.
  
11. **Stakeholder engagement program:** This section will summarize the purpose and goals of the stakeholder engagement program. It will briefly describe what information will be disclosed, in what formats, and the types of methods that will be used to communicate this information to each of the identified groups of stakeholders. Methods used may vary according to target audience, for example:
  - Newspapers, posters, radio, television;
  - Information centers and exhibitions or other visual displays; and
  - Brochures, leaflets, posters, non-technical summary documents and reports.



12. **Consultation methods:** This section will describe the methods that will be used to consult with each of the stakeholder groups identified in Section 10. Methods used may vary according to the target audience, for example:
  - Interviews with stakeholder representatives and key informants;
  - Surveys, polls, and questionnaires;
  - Public meetings, workshops, and/or focus groups with a specific group;
  - Participatory methods; and
  - Other traditional mechanisms for consultation and decision-making.
13. **Other engagement activities:** This section will describe any other engagement activities that will be undertaken, including participatory processes, joint decision-making, and/or partnerships undertaken with local communities, NGOs, or other stakeholders. Examples include benefit-sharing programs, community development initiatives, job creation initiatives, and/or training and microfinance programs.
14. **Timeline and resources:** This section will present and implementation timeline for each stakeholder engagement activity listed in Sections 11 to 13, together with an estimate of resource needs.
15. **Monitoring and arrangements:** This section aims to outline what steps you will take to monitor and evaluate the effectiveness of the stakeholder engagement activities listed in Sections 11 to 13.
16. **Consultation:** This section will summarize the consultations carried out with stakeholders in preparation of the plan, particularly any local communities who may be particularly affected by the proposed activities. Include dates of consultations, and a summary of the number of women and men consulted, but do not include names of individuals.
17. **Disclosure:** CEPF requires that environmental and social instruments are disclosed to affected local communities and other stakeholders prior to project implementation. Please describe the efforts you have taken to disclose this Stakeholder Engagement Plan.
18. **Grievance mechanism:** For all sub-projects where a World Bank environmental or social standard applies, the grantee must provide local communities and other relevant stakeholders with a means to raise a grievance, and whereby this grievance may be considered and satisfactorily resolved.

This grievance mechanism must include, at a minimum, the following elements:

- Email and telephone contact information for the grantee organization.
- Email and telephone contact information for the CEPF Regional Implementation Team.
- The contact details for the CI Ethics Hotline (telephone: +1-866-294-8674 / web portal: <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>).
- A statement describing how you will inform stakeholders of the objectives of the sub-project and the existence of the grievance mechanism (e.g., posters, signboards, public notices, public announcements, use of local languages).

- A statement that you will share all grievances – and a proposed response – with the Regional Implementation Team and the CEPF Grant Director within 15 days. If the claimant is not satisfied following the response, they may submit the grievance to the CEPF Executive Director via the CI Ethics Hotline. If the claimant is not satisfied with the response from the CEPF Executive Director, they may submit the grievance to the World Bank via the World Bank’s Grievance Redress Service (GRS).

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 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-redress-service#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](mailto: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 grantee will also need to make special provisions for grievances related to gender-based violence (GBV), due to the need for complaints to be handled by persons with specialist training and adopting a survivor-centered approach. The grantee will be provided with the contact details of a GBV service provider in the project country, and will be required to include them in their grievance mechanisms. Survivors of GBV will have the option of contacting the GBV service provider directly, who will, in-turn, inform the CEPF Secretariat, with the express consent of the survivor.

Following the guidance above, describe the grievance mechanism that you will use.

## Stakeholder Identification and Engagement Programme

Please note that the table presented below represents **an example**. The stakeholders and the responsible person may differ across subprojects. Please include the stakeholders and responsible person that are relevant to your project.

Stakeholder	Information to be Disclosed	Methods of Disclosure/Engagement	Timing of Disclosure/Engagement	Stakeholder Special Needs	Barriers to Engagement/Participation	Actions to be Taken to Reduce Barriers to Engagement/Participation	Person Responsible
<b>Affected Parties</b> (List each stakeholder in a different row)							
<i>Community A</i>	-Project activities, risks and impacts -Project GRM	-Community Meeting -Flyer/Poster on community notice board -Text messages	-Prior to start of project activities (or can be more specific if known)	-Information translated and disseminated into local dialect	-Some parts of community very remote and residents don't have transport to attend meetings or to come to office to file grievances	-Provide transport to meeting site/ file grievance  -Have person responsible for receiving grievance go to person  -Host separate meetings with groups in remote parts of communities	Project Manager
<b>Other Interested Parties</b> (List each stakeholder in a different row)							
<i>Ministry of Environment</i>	-Project activities, risks and impacts  -Project progress	-Email	-Prior to start of project activities  -Throughout project implementation (or can be more specific if known)	N/A	N/A	N/A	Project Manager
<b>Vulnerable/ Disadvantaged Groups</b> (List each stakeholder in a different row)							
<i>Landless farmers</i>	-Project activities, risks and impacts -Project GRM	-Community meeting	-Prior to start of project activities	-Information translated and disseminated into local dialect	-Can't attend meetings in the morning	-Host meetings in afternoons	Project Manager

Stakeholder	Information to be Disclosed	Methods of Disclosure/Engagement	Timing of Disclosure/Engagement	Stakeholder Special Needs	Barriers to Engagement/Participation	Actions to be Taken to Reduce Barriers to Engagement/Participation	Person Responsible
	-Pest management procedures	-Flyer/Poster on community notice board	-During project implementation (or can be more specific if known)		-Most only speak local dialect and not formal language	-Hire translator/person who is fluent in local dialect	

## Annex 5- Stakeholder Engagement Plan Template (Low Risk Projects)

### Table of Contents

### List of Acronyms

### Introduction

#### Overview of the Caribbean Hotspot Project

This section should include a general description of the Parent project, including its components. This description can be standard across all of the sub-project SEPs.

#### Description of the Sub-Project

Briefly describe the sub-project

- Its objectives
- Location
- Activities to be undertaken
- Short Summary of environmental and social risks

Include the purpose of the Stakeholder Engagement Plan

### Covid-19 Considerations for Stakeholder Engagement

Include a description of how covid-19 prevention will be included in the stakeholder engagement process e.g. social distancing, providing masks, sanitizer, holding virtual consultations etc.

### Documentation of Stakeholder Engagement Activities

Outline how stakeholder engagement activities will be documented e.g. meeting minutes, recordings etc.

### Stakeholder Engagement Responsibilities and Resources

#### Responsibilities

Include a table that shows the person (s) responsible for the management and implementation of the SEP.

*Please note that the table presented below represents **an example**. The roles and responsibilities may be different across different sub-projects. Please include the roles and responsibilities that are relevant to your sub-project.*

Role/Position Title	Responsibilities
Project Manager Environmental & Social Specialist/s	<ul style="list-style-type: none"><li>• Manage and implement the Stakeholder Engagement Plan (SEP)</li><li>• Dissemination of project information</li></ul>

Role/Position Title	Responsibilities
Environmental & Social Specialist/s	<ul style="list-style-type: none"> <li>• Interface with stakeholders and respond to comments or questions about the project or consultation process.</li> <li>• Provide contact information if stakeholders have questions or comments about the project or consultation process.</li> <li>• Document any interactions with external stakeholders.</li> <li>• Maintain database, records for SEP</li> <li>• Coordinating public meetings, workshops, focus groups etc.</li> <li>• Makes sure the SEP is being adhered to and followed correctly.</li> <li>• Raise awareness of the SEP among project implementation unit, employees contracted firms and relevant external stakeholders.</li> </ul>

This section should include a brief statement of how the SEP/GRM will be made available to staff, beneficiaries etc.

### Resources

Include a table that includes the cost/budget to implement SEP.

*Please note that the table presented below is **an example**. The budget items may be different across different sub-projects. Please include the budget items and costs that are relevant to your sub-project.*

Budget Item	Cost
Printing material	
Transportation	
Meeting Space Rental	

### Grievance Redress Mechanism

For all sub-projects where a World Bank environmental or social standard applies, the grantee must provide local communities and other relevant stakeholders with a means to raise a grievance, and whereby this grievance may be considered and satisfactorily resolved.

This grievance mechanism must include, at a minimum, the following elements:

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Following the guidance above, describe the grievance mechanism that you will use.

## Annex 6- Grievance Information Form

<b>Date/Time received:</b>	<b>Date: (dd-mm-yyyy)</b>  <b>Time:</b> <input type="checkbox"/> <b>am</b> <input type="checkbox"/> <b>pm</b>	
<b>Name of Complainant:</b>		<input type="checkbox"/> You can use my name, but do not use it in public.  <input type="checkbox"/> You can use my name when talking about this concern in public.  <input type="checkbox"/> You cannot use my name at all.
<b>Company (if applicable)</b>		<input type="checkbox"/> You can use my company name, but do not use it in public.  <input type="checkbox"/> You can use my company name when talking about this concern in public.  <input type="checkbox"/> You cannot use my company name at all
<b>Contact Information:</b>	<b>Phone:</b>  <b>Email address:</b>  <b>Address:</b>  (Kindly indicate the preferred method of communication)	
<b>Details of grievance:</b> (Who, what, when, where)	<input type="checkbox"/> One-time incident/complaint <input type="checkbox"/> Happened more than once (indicate how many times): _____ <input type="checkbox"/> Ongoing (a currently existing problem)	



<p><b>How would you like to see issue resolved?</b></p>	
<p><b>Attachments to the grievance/complaint:</b> (e.g. pictures, reports etc.)</p>	<p>List here:</p>

\_\_\_\_\_

**Complainant Signature (if applicable)**

\_\_\_\_\_

**Date (dd-mm-yyyy)**

\_\_\_\_\_

**Signature- Project personnel (to confirm receipt only)**

\_\_\_\_\_

**Date (dd-mm-yyyy)**

## Annex 7- Grievance Acknowledgement Form (GAF)

The project acknowledges receipt of your complaint and will contact you within 10 working days.

<b>Date of Grievance:</b> (dd/mm/yyyy)	
<b>Name of Complainant:</b>	
<b>Complainant's Address and Contact Information:</b>	
<b>Summary of Grievance:</b> (Who, what, when, where)	
<b>Name of Project Staff Acknowledging Grievance:</b>	
<b>Signature:</b>	
<b>Date:</b> (dd/mm/yyyy)	

Annex 8- Grievance Redressal Registration Monitoring Sheet

No.	Name of Complainant	Date Received	Grievance Description	Name of Grievance Owner	Requires Further Intervention	Action(s) to be taken by PIU	Resolution Accepted or Not Accepted and Date of Acceptance/Non-acceptance
1.							
2.							
3.							
4.							

## Annex 9- Meeting Record Form

**Date of the Meeting:** ..... **Grievance No:** .....

**Venue of meeting:** .....

**Details of Participants:**

Complainant	Project Staff

**Summary of Grievance**.....

.....  
.....  
.....

**Meeting Notes:** .....

.....  
.....  
.....

**Decisions taken in the meeting / Recommendations** .....

.....  
.....  
.....

**Issue Resolved / Unresolved:** .....

**Signature of Chairperson of the meeting:** .....

**Name of Chairperson:** ..... **Date (DD/MM/YYYY):** .....

## Annex 10- Disclosure/Release Form

**Result of Grievance Redressal**

<b>Grievance No:</b>	
<b>Name of Complainant:</b>	
<b>Date of Complaint:</b>	
<b>Summary of Complaint:</b>	
<b>Summary of Resolution:</b>	
<b>Resolved at:</b>	<input type="checkbox"/> First Level <input type="checkbox"/> Second Level <input type="checkbox"/> Third Level
<b>Date of grievance resolution (DD/MM/YYYY):</b>	

**Signature of Complainant in acceptance of the suggested grievance resolution:**

.....

**Name:** .....

**ID number:** .....

**Type of ID:** .....

**Date (DD/MM/YYYY):** .....

**Signature of Grant Director:**

1.....

**1.Name:**.....

**Place:**.....

**Date:(dd –mm – yyyy):** .....