

ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM.

ENVIRONMENTAL, SOCIAL AND GENDER POLICIES

IDDI PROGRAMS AND PROJECTS



FONDO DE ADAPTACIÓN



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ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM.

IDDI PROGRAMS AND PROJECTS

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Review Committee

Peter Zuccarini

Arcadia Francisco

Maximino Herrera

Maria Cornelio

Luis Alejo Javier

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Preamble

The Dominican Institute for Integral Development (IDDI) is a non-profit organization governed in accordance with the provisions of Law 520 and with legal status granted by Presidential Decree No. 2067 of June 8, 1984.

The main objective of the IDDI is to promote, through integral development, alternative solutions to the social and economic problems that affect the population of the Dominican Republic.

As a non-profit institution, the IDDI, like any other independent organization of its nature, must adhere to the best administrative, financial and accounting practices in order to maintain its sustainability like any other.

The Adaptation Fund (AF) was established under the Kyoto Protocol to the United Nations Framework Convention on Climate Change (UNFCCC). Since 2010, it has committed US\$900 million to finance climate resilience and adaptation activities, including support for 150 projects.

Through Implementing Entities (IEs) Helping the most vulnerable countries and communities is an increasing challenge for the international community, especially as climate adaptation requires significant resources beyond what is already needed to achieve the goals of international development.

The IDDI as EI assumes the commitment to comply with the Environmental and Social Policy and the Gender Policy of the Adaptation Fund and prepares the procedures to ensure compliance during the implementation of programs and projects financed by the Adaptation Fund

This document constitutes a means of consultation and permanent training for IDDI personnel, guaranteeing respect for the legal framework, human rights, seeking gender equity and the well-being of all social groups, including vulnerable or marginalized groups, to strict compliance with the Environmental Policies and Gender Policies established in this document.

Acronyms

AF	Adaptation Fund
CEDAW	Convention on the Elimination of all Forms of Discrimination against Women
GIVES	Designated Authority
EE	executing entity
EIA	Environmental Impact Assessment
THAT	Environmental and Social Assessment
EIAS	Environmental Social Impact Assessment
IS G	Environment and Social and Gender
ESGP/PASG	Environmental and Social and Gender Policies
EMS	Environmental and Social Management System (Environmental and Social Management Plan)
ESMS	Environmental and Social Management System
ENG	Environmental and Social Policy
GAP	Gender Action Plan
GCF	Green Climate Fund
GEF	Global Environment Facility
GP/PG	Gender Policy
IDDI	Dominican Institute for Integral Development (IDDI),
IE	executing entity
IPCC	Intergovernmental Working Group on Climate Change
IUCN	International Union for Conservation of Nature
MDG	Millennium Development Goals
I	Monitoring and evaluation
NIE	National Implementation Entity
OECD	Organization for Economic Cooperation and Development
PFG	Project Formulation Grant
PPR	Project Performance Report
RBM	results-based management
SDG	Sustainable Development Goals
SMART	Specific, measurable, precise, relevant, time-bound
UDHR	Universal Declaration of Human Rights
UNEP	United Nations Environment Program
Unesco	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
QUIEN	World Health Organization

Main guidelines.

The Environmental and Social Management System will be applied to all programs and projects that IDDI develops through the financing mechanisms of the Adaptation Fund.

The Adaptation Fund adopted the Environmental and Social Policy (PAS) in November 2013, and the Gender Policy (PG) aligned in March 2016 and revised in March 2021. These policies are to ensure that projects and programs supported by the Fund promote positive environmental, social and gender benefits, and mitigate or avoid risks and adverse impacts. To ensure compliance, the Implementing Entities (IE) must develop an Environmental and Social Management System (SGAS). At the project level, environmental, social and gender impacts are identified, and based on this assessment, prevention and mitigation actions are formulated if necessary.

The IDDI accepts the commitment to avoid any damage to society or the environment and to watch over the impacts that through the programs or projects implemented by the institution may cause to the environment or people. Therefore, it adopts the Environmental Policies of the Adaptation Fund and its principles (Safeguards).

This document will serve as a reference for the implementation of programs and projects that are financed by other donors.

Environmental and Social Management System

The Environmental and Social Management System is composed of a series of steps that are oriented to the evaluation, identification and categorization of risk in relation to the PAS and PG in preparation for the presentations of projects/proposals to the AF.

National Implementation Entities (NIE) use environmental and social management systems (SGAS) to guide the processes to determine ESP and GP compliance. The SGAS must carry out the evaluation of the potential environmental and social impacts and adopt measures for their mitigation during the implementation of the programs/projects, and supervise and report on these measures during and at the end of the application.

Steps for the Initial Implementation of the SGAS.

Identification of Environmental and Social risks.

Possible adverse impacts and risks related to the 15 principles (safeguards) contained in the Environmental and Social policy must be identified; briefly describe in the proposal with additional documentation included in an annex (if considered necessary); In the event that any of the principles is not applicable, its reason must be justified.

1. During the identification of impacts an evaluation of the 15 Principles is required
2. All potential impacts (Positive and Negative) in the project intervention area are considered.
3. It must be clearly indicated that a principle does not apply or include justification that the project meets the standards of the principle or that risk actions are necessary and documented in an Environmental and Social Management System (ESMS).
4. A principle may be relevant to a project while the related risk may be absent.

Regardless of the outcome of the assessment, all proposed projects must comply with environmental, social and gender principles and applicable national and local laws and regulations.

Environmental Impact Assessment (EIA)

An Environmental Impact Assessment (EIA) will be carried out if risks are identified during the selection process and can occur at two levels: national regulatory requirements and Adaptation Fund requirements. The ESIA's must evaluate all the impacts and risks and establish the mechanisms for their mitigation that are established through an Environmental and Social Management Program (ESMP).

In addition, the evaluation should: a) consider all possible impacts (Negative and Positive) that could result from the proposed project; b) evaluate alternatives to the project; and, (c) evaluate possible measures to avoid, minimize or mitigate all relevant ESG risks.

Carrying out the EIA: The EIA can be carried out by IDDI technical personnel or through the hiring of a specialist, depending on the types of impact assessed.

categorization

Categorization should be considered during the concept or project formulation stage; environmental, social impacts must be properly identified and assessed in an open and transparent manner with proper consultation. They can provide rationale to support their determination of severity and acceptability so that the determination can be revised as necessary.

The appropriate categories are presented at the end of the risk identification and, where appropriate, in the impact assessment.

Category A – requires risk-proportioned ESIA – projects that may have significant adverse environmental or social impacts.

Category B – requires risk-proportioned ESIA – projects with potential adverse impacts, but fewer in number, scale, or easily mitigated.

Category C – No actions are required beyond PAS compliance risk monitoring:

Environmental and Social Management Plan (PGAS)

This plan constitutes the set of actions to be implemented to achieve the minimization of the environmental and social impacts that may be generated during the execution of a program or project.

Public Consultation Mechanism

The general objective of public consultation is to engage key stakeholder groups, for example communities, non-governmental organizations, agencies, authorities and interest groups to provide input on planned development and especially on those impacts that directly or indirectly affect people's livelihoods. Also, by involving stakeholder input in the EIA, the planned project is strengthened by these inputs. Effective public participation requires that project planners be able to:

- Inform and involve stakeholders and beneficiaries, e.g. communities, public authorities and interest groups.
- Explicitly address their comments, concerns, and input, both in documentation and in decision-making.

- Ensure that all stakeholders and stakeholders are involved or at least represented.
- Provide sufficient access to all relevant documents and information about the project and EIA documentation.

Procedures:

The development of relationship, information and communication strategies must have the objective of being able to establish channels to have knowledge of the strengths, capacities and needs in the intervention areas to be taken into account when preparing the work plans and designing the mechanisms. that allow activities to be carried out without affecting the population based on Environmental, Social and Gender policies and national and international legal regulations when applicable.

General stages

Preparation. At the beginning of the consultation process, the intervention zones and work areas will be identified to guarantee their implementation.

Implementation. Meetings and work meetings will be called with the different actors to report on the scope of the program and project, define priorities, responsibilities and reach agreements.

Follow-up. The agreement will be followed up. This should serve to regulate that the desired compliance is given to the agreements reached by the communities and interested entities.

For full proposals, a comprehensive consultative process must take place, and must involve all direct and indirect project stakeholders, including vulnerable groups and taking into account gender.

Items to consider:

- All stakeholders must be identified, particularly marginalized or vulnerable groups and individuals.
- It requires the earliest possible consultation in project design.
- If screening reveals potential environmental, social and gender impacts and risks, an E will be required IAS and, finally, an SGAS. A draft ESIA and any proposed management plan will be made available for public consultation that are timely, effective, inclusive, and entered into free of coercion and in a manner appropriate to the communities affected by the proposed project.
- Collect information for public disclosure or through requests taking into account key exceptions, appropriate translation and delivery of information (see Annex
- The application should include a framework (see Annex I) to allow stakeholder views to be heard during project implementation. A strategy and schedule for sharing information and consulting with each stakeholder group should be provided. Include the costs in the budget.

- Provide a final environmental, social and gender assessment to the FA Secretariat, which will publicly disclose it through the Fund's website as soon as it is received. Inform all interested parties of the documents published by AF and their location online.
- Disclose the final environmental, social and gender assessment to people affected by the project and other interested parties.
- publicly disclose, during the implementation of the programs and projects, the performance reports based on the indicators and goals and the monitoring of the programs established for compliance with the Environmental, Social and Gender Policy and its safeguards.
- Any proposed significant changes to the project during execution will be made available for effective and timely public consultation with directly affected communities.

The IDDI has the MANUAL: CONSULTATION MECHANISMS, which defines the processes for the entire project cycle from its formulation to the delivery of the final report.

Monitoring, Reporting and Evaluation (M&E)

A monitoring, reporting and evaluation program consistent with the actions identified in the ESMS will report the results in the mid-term, annual and terminal performance reports. Monitoring ensures that actions are taken in a timely manner and to determine if the measures are adequately mitigating risks and impacts or if they need to be modified to achieve the expected results.

EI's annual project performance reports should include a section on the status of ESMP implementation and any corrective actions deemed necessary. The mid-term and final reports will also include an ESG-related project performance assessment.

Procedures:

1. Based on the ESMS, identify monitoring and evaluation needs and their indicators, taking into account that there may be additional monitoring requirements arising from impact assessments of unidentified activities or projects.
2. Based on supervision needs, identify a schedule for monitor the activities, scheduled to generate timely inputs in the scheduled general reports of the project.
3. Assign roles and responsibilities for monitoring and reporting.

Results: SGAS, general monitoring of projects, reports and evaluation schedule.

Complaints and Claims Attention System

Grievance resolution mechanisms include various elements, including some or all the following:

A transparent system for receiving and recording complaints, to provide community members with avenues to register complaints and confirm that they have been received

Complaint eligibility assessment, to determine whether the issues raised in the complaint fall within the mandate of the grievance mechanism and whether the complainants were positioned

Complaint assessment, to clarify the issues and concerns raised in the complaint, to gather information about how others view the situation, and to identify if and how it can be resolved

Multiple options for troubleshooting, with or without independent third-party assistance:

- Internal decision processes, in which issues are handled by designated officials, using fixed standards and criteria, to develop and propose a company response to the complaint and allow for an appeals process.
- Joint resolution of problems, in which the IDDI and the claimant engage in direct dialogue.
- Decision with third parties, to offer a solution when a voluntary agreement is not possible.
- Follow-up, monitoring and information to the community about the claims.
- Communication and information shared between the IDDI and the community or interested entities, to strengthen the processes for resolving claims.
- Organizational learning and identification of systemic problems and the need for changes in policies and procedures to prevent recurring disputes in the future.

Registration of a complaint or claim (Complaint)

For the registration of a complaint or claim, the following channels will be implemented to collect and process complaints:

- Via Email: The IDDI makes available the email denuncias@iddi.org, which will be provided during public consultation meetings and follow-up meetings during the implementation of the program or project with local actors, beneficiaries and interested entities.

The email must have as header: COMPLAINT OF NON-COMPLIANCE with the following information:

- Name of the complainant(s).
 - Situation of non-compliance, accompanied by documentary or photographic evidence or written witness statement.
 - Place and date of the event.
 - People involved or who have incurred in an ethical breach.
- Via WEB page: through the page www.iddi.org In the "COMPLAINTS" tab, complainants may fill out the form provided for this purpose.
 - Via Written Communication: In the intervention areas where the IDDI programs or projects are implemented, MAILBOXES will be placed with the formats to formulate complaints. These mailboxes will have security so that it can only be opened by the members of the Complaints and Claims Committee.

The complaints and claims form that will be available to those interested through the community focal points and the staff of the project Management Unit team.

The processes are described in the MANUAL: COMPLAINTS AND CLAIMS SERVICE SYSTEM.

Environmental and Social Policy of the Adaptation Fund (Principles)

General Environmental and Social Commitment: Environmental and social policies are essential to ensure that the Fund does not support projects/programs that unnecessarily harm the environment, public health or vulnerable communities. As part of the responsibilities of the executing entities of the project/program, all executing entities must

- (i) have an environmental and social management system that guarantees the identification and evaluation of environmental and social risks
- (ii) have an environmental and social management system that ensures that environmental and social risks are identified and assessed at the earliest possible stage of project/program design and avoid or, where avoidance is impossible, minimize or mitigate those risks during the execution, and
- iii) supervise and report on the status of said measures during and at the end of execution.

The principles (safeguards) have been adopted by IDDI within its Environmental and Social Policy and will apply to all programs and projects developed with the Adaptation Fund and other donors.

Principle 1 – Compliance with national regulations

Projects or programs supported by the Fund must comply with all applicable national and international laws.

For example: planning permission, environmental permits, construction permits, permits for water extraction, emissions, use or production or storage of harmful substances (describe the current status, steps taken so far and plans to achieve compliance).

See the list of United Nations conventions and declarations ratified by the Dominican Republic (see Annex F); also takes note of the conventions directly related to gender policy: Universal Declaration of Human Rights (UDHR), Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), the fundamental conventions of the International Labor Organization (ILO), the Sustainable Development Goals and the 2030 Agenda for Sustainable Development (SDG).

Process:

- Identify all specific and applicable national and international laws that apply.
- Identify activities that may require prior consent or permission.
- Identify environmental and social safeguard requirements (scrutiny).
- Identify any technical or industry standards that apply.

Results: Assessment of the risks of non-compliance with specific laws. For permit procedures, a description of the requirements and current status, any steps already taken, and the plan for obtaining permits. For standards, an overview of the standards to be met.

Principle 2 – Access and equity

The projects or programs supported by the Fund will provide fair and equitable access to benefits in an inclusive manner and that does not impede access to basic health services, drinking water and sanitation, energy, education, housing, safe and decent working conditions and rights on earth. Projects or programs must not exacerbate existing inequalities, particularly in relation to marginalized or vulnerable groups.

By providing fair, impartial and equitable access to benefits, in particular to vulnerable groups, and not causing negative consequences for basic services and working conditions, i.e. health services, drinking water and sanitation, energy, education, housing, safe and decent working conditions and land rights.

There will be no discrimination or favoritism in access to benefits and does not impede access to essential services and rights.

You can use a risk analysis to identify and assess the risks of exacerbating inequalities.

Process:

- Identify the benefits of the project and its geographic area of effect.
- Identify any marginalized or vulnerable groups among the potential beneficiaries of the project (you can use stakeholder mapping³ to identify potential beneficiaries, rivals, contenders, marginalized or vulnerable people).
- Identify existing access to essential services and rights in the project area as indicated in the principle.
- Describe the mechanism for allocation and distribution of project benefits, and how this process ensures fair and impartial access to benefits.

Results: Stakeholder analysis, identification of marginalized and vulnerable groups, beneficiary selection, and description of the benefit allocation process.

Principle 3 – Marginalized and vulnerable groups

Projects or programs supported by the Fund shall avoid causing any disproportionate adverse impact on marginalized and vulnerable groups, including children, women and girls, the elderly, indigenous peoples, tribal groups, displaced persons, refugees, persons with disabilities and

people living with HIV. /AIDS. In evaluating any proposed project or program, implementing entities will analyze and consider the particular impacts on marginalized and vulnerable groups.

Projects must not cause adverse effects on vulnerable groups: children, women, the elderly, immigrants, refugees, people with disabilities, people with HIV/AIDS and other disadvantaged groups.

The groups possibly affected by the project must be identified and quantified; for example, through a vulnerability assessment (reference documents section, on page 46, for more details).

If these groups are present, describe the characteristics of the groups; identify potential adverse impacts (ie lack of wheelchair accessibility) or any disproportionate impacts to other groups and how these can be mitigated or prevented (infrastructure features, access guarantees); and describe the monitoring needed during implementation for potential adverse impacts.

Process:

- In the project area, identify the presence of marginalized or vulnerable groups.
- Quantify all identified groups using accepted methods based, wherever possible, on data disaggregated.
- Describe the characteristics of any marginalized or vulnerable groups, identifying particular vulnerabilities that would make them disproportionately vulnerable to negative environmental or social impacts caused by the project.
- Outputs: Identification and quantification of marginalized and vulnerable groups and a description of their risk of disproportionate adverse impacts.

Suggestions:

1. List specific criteria to determine/calculate vulnerability
2. Use community committees for the selection of vulnerable households or communities
3. Use women's committees, gender-focused groups and organizations
4. Draw on national data sets
5. Use vulnerability assessment tools, describe what the tool does and who used it (as an example)

Principle 4 – Human rights

Projects or programs supported by the Fund will respect and, where appropriate, promote international human rights.

The Projects must create awareness with all those involved from the design, execution, monitoring and evaluation of the Universal Declaration of Human Rights.

It is pertinent to the project, that it provide an overview of the relative human rights issues that are identified in "Special Procedures of the Human Rights Council"

Human rights issues should be an explicit part of stakeholder consultations and the conclusions included in the project proposal with details in an annex, if necessary, should take into account:

- Check if the Dominican Republic is cited in any "Special Procedures of the Human Rights Council", whether in thematic or country mandates (no citations at the time of preparation of this document).
- If identified, please provide an overview of relevant human rights issues.
- Explicitly include human rights issues in stakeholder consultations during project identification and/or formulation.
- Include the conclusions of the consultations on human rights issues in the project document.

Results: Determination of appointments of special procedures, identification of human rights concerns by stakeholders.

Principle 5 – Gender equality and women's empowerment

Projects must be designed and implemented in such a way that both women and men: (1) have equal opportunities to participate in accordance with the Fund's gender policy; 2) receive comparable social and economic benefits; and 3) they do not suffer disproportionate adverse effects during the development process.

This should include an analysis of the legal and regulatory context related to gender equality and women's empowerment (i.e. cultural, traditional, religious or other conventions that may result in a different allocation of benefits; or adverse effects) (

Describe how the project will pursue equal participation.

Describe the project's proactive measures to promote gender equality, organizing working groups or holding stakeholder consultations at convenient times and places.

Process:

- Identify activities or other elements of the project that are known to exclude or hinder a gender group based on legal, regulatory or customary grounds.
- Carry out or consult a gender analysis of the project sector, describing the current situation of the assignment of roles and responsibilities in the project area.

- Identify elements in the project that maintain or aggravate gender inequality or the consequences of gender inequality.
- Identify particular vulnerabilities of men and women that would make them disproportionately vulnerable to
- Outputs: Identification of risks of creating or maintaining gender-based inequalities and a description of the gender-based risk of disproportionate adverse impacts.

Principle 6 – Fundamental labor rights

The projects or programs supported by the Fund will comply with the basic labor standards indicated by the International Labor Organization.

The project must comply with the core labor standards identified by the International Labor Organization (ILO) listed in the 1998 ILO Declaration on Fundamental Principles and Rights at Work. Proposals should outline how they are ensuring the application of ILO core labor standards; In the case of the Dominican Republic, the eight fundamental ILO conventions have been ratified.

Process:

- You can refer to the latest evaluations of the application of standards in the Dominican Republic (published by the ILO and by the Ministry of Labor) –the country has ratified 8 fundamental conventions.
- Review the latest ILO evaluations on the application of standards in the Dominican Republic.
- Identify any past/present/planned ILO assistance to meet the standards through social dialogue and technical assistance.
- Identify any relevant ILO procedures (or Special Procedures by the Dominican government); and how complaints will be handled.
- Demonstration of how ILO core labor standards will be incorporated into project design and implementation.
- Describe the common labor arrangements in the sector or sectors in which the project will operate, with particular attention to all forms of child labor and forced labor.
- If there are problematic assessments, reference a monitoring process that will be set up during deployment.

Results: Determination of the probability of compliance with the basic ILO standards.

Principle 7 – Indigenous peoples

The Fund will not support projects or programs that are inconsistent with the rights and responsibilities set forth in the United Nations Declaration on the Rights of Indigenous Peoples and other applicable international instruments related to indigenous peoples.

It is not applicable in the case of the Dominican Republic.

Principle 8 – Involuntary resettlement

Projects or programs supported by the Fund will be designed and implemented in such a way as to avoid or minimize the need for involuntary resettlement. When limited involuntary resettlement is unavoidable, due process must be observed so that displaced persons receive information about their rights, consultations about their options, and offers of technically, economically, and socially viable resettlement alternatives or fair and adequate compensation.

Projects must avoid or minimize the need for involuntary resettlement. When unavoidable, due process must be observed so that displaced persons are informed of their rights, consulted about their technically, economically and socially viable alternatives for resettlement or fair compensation.

Process:

- Review the project to identify if physical or economic displacement is necessary or will occur as a consequence of its implementation.
- If displacement is required, determine if it is voluntary or involuntary.
- Identify whether the entire livelihoods of the stakeholders may be affected, directly or indirectly, by the project and whether this may lead to resettlement.
- Identify stakeholders whose assets or access to assets may be affected, directly or indirectly, by the project and whether this may lead to resettlement and its consequences, including indemnity, compensation, etc.
- If necessary, provide justification by demonstrating any realistic alternatives that have been explored and how resettlement has been minimized and is the least harmful solution. Describe in detail the scope of involuntary resettlement and the resettlement process to be applied, with safeguards (include an overview of applicable national laws and regulations). Justify the conclusion that involuntary resettlement is feasible. Describe the adequacy of the organizational structure, capacity and experience to implement resettlement. Build awareness.

Outputs: Identification of the risk of physical or economic resettlement; identification and quantification of the people or communities possibly affected.

Principle 9 – Protection of Natural Habitats

The Fund will not support projects or programs that involve the unwarranted conversion or degradation of critical natural habitats, including those that are: (a) legally protected; (b) officially proposed for protection; (c) recognized by authoritative sources for their high conservation value, including as critical habitat; or (d) recognized as protected by local traditional or indigenous communities.

Process:

- Identify all critical natural habitats in the project region that may be affected. The area must be large enough to be credible and be chosen based on the impact generating agent (eg noise) and an appreciation of its propagation capacity. Habitats to consider include all those recognized as critical in anyway, whether legally (through protection), scientifically, or socially.
- Describe the location in relation to the project and why it cannot be avoided, as well as its characteristics and critical value (location, dimension, duration, etc.).
- Provide an analysis of the scope of the impact and a demonstration that the impact is consistent with the management plans and affected area custodians.
- Provide information on the relevant laws, regulations and policies of the Dominican Republic and the institutional arrangements for their application and enforcement that apply to habitat, for example, the Ministry of Environment and Natural Resources.

To identify critical habitats, see: Convention on Wetlands; Scientific information published by UNESCO's Man and the Biosphere Programme, IUCN, UNEP, Conservation International, World Wide Fund for Nature, for example. Local sources as well helpful.

Outputs: A detailed map and inventory of all critical natural habitats in the project area; for each a description of its particular vulnerabilities; risk identification results.

A reliable source for endangered plant and animal species in the Dominican Republic is the IUCN Red List. The list is available at: <http://www.iucnredlist.org>

Principle 10 – Conservation of Biological Diversity

Projects or programs supported by the Fund will be designed and implemented in such a way as to avoid any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species.

Projects must avoid any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species. Defined as not only living organisms of all taxa, but also ecosystem processes, habitats, hydrological cycles, erosion and sedimentation processes, landscapes, etc., the following must be taken into consideration:

- Describe the significant elements of known biological diversity in the project area using any relevant information sources, such as protection status, IUCN Red List of Threatened Species status (see Annex G)
- Describe why biodiversity cannot be avoided and what measures will be taken to minimize impacts; for example, changes in the flow regime or water quality for a seasonal wetland or the interruption of migratory flows.
- Describe the invasive species that can or will be introduced and why such introduction cannot be prevented.
- Please provide evidence that this introduction is permitted under the existing regulatory framework (including the Cartagena Protocol on Biosafety), and the results of a risk assessment looking at the potential for invasive behaviour.
- Describe measures to minimize the possibility of spreading invasive species.

Outputs: Depend on risk identification findings. A map indicating the relative position of the biodiversity features and the location of the project will generally be useful.

Principle 11 – Climate change

Projects or programs supported by the Fund will not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change.

Projects must not result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change. Factors driving changes are considered carbon dioxide gas emission from fossil fuels and land use changes, methane and nitrous oxide emissions from agriculture, hydrofluorocarbon emission, perfluorocarbons, sulfur hexafluoride, other halocarbons, aerosols and ozone.

Process:

- Determine if the project belongs to a sector mentioned above for which a calculation of greenhouse gas emissions is required.
- Projects in energy, transportation, heavy industry, construction materials, large-scale agriculture, large-scale forest products, and waste management require calculation of greenhouse gas emissions using recognized methodologies internationally (Intergovernmental Panel on Climate Change (IPCC) 2006 Guidelines for National Greenhouse Gas Inventories).
- Other projects can demonstrate compliance by conducting a qualitative risk assessment for each of the above drivers of climate change, plus any project impacts on carbon capture and sequestration capacity.

Results: Qualitative identification of risks, result of sector scrutiny.

Principle 12 – Pollution prevention and resource efficiency

The projects or programs supported by the Fund will be designed and implemented in such a way that they comply with applicable international standards to maximize energy efficiency and minimize the use of material resources, the production of waste and the emission of pollutants.

In addition, it must be reasonable in cost and minimize the production of waste and the release of pollutants.

The guiding principles of the waste and pollution prevention and management plan must be prevention, the preventive approach, evidence-based monitoring, and participation and consultation. All project members should be familiar with the plan and its implications.

Process:

- Identify project activities with preventable waste or pollution production.
- Determine the nature and quantity of the waste, as well as the potential contaminants that the project may produce.
- Determine if the concept of minimizing the production of waste and pollution has been applied in the design of the project and if this will be effective during implementation.
- The project design should illustrate the minimization of resource use and may include reference to design options and applicable local, national and international standards.
- Prepare a waste and pollution prevention and management plan for the project, including the cost of implementation, as well as performance monitoring.

Outputs: Identification of waste and contamination, including the part that can be prevented; determination of the use of the concept of minimization in the activities and design of the project; determination of compliance with the applicable rules.

Principle 13 – Public Health

Projects or programs supported by the Fund will be designed and implemented in such a way as to avoid potentially significant negative impacts on public health.

The determinant components of WHO Health will be taken into account, such as the social and economic environment, the physical environment and the individual characteristics and behaviors of the person.

Process:

- Identify potentially significant negative impacts on human health generated by the project. In order to demonstrate compliance, a health impact assessment scrutiny checklist can be used. You should consider the potential impact of the project on a wide range of health determinants for the population as a whole and for groups within the population.

- Checklists should include (a) background and context of the project; (b) an adequate list of determinants of health, with space for a nuanced assessment for each determinant; and (c) the section that identifies the groups most likely to be affected by each determinant of health.

- If no significant negative public health impacts are identified, scrutiny can be used to demonstrate compliance. If additional health assessment is necessary, then that process can be used to demonstrate compliance. Both must comply with WHO recommended practices.

Outputs: Result of the detection of impact on health.

Principle 14 – Physical and cultural heritage

Projects or programs supported by the Fund will be designed and implemented in such a way as to avoid the alteration, damage or removal of any physical cultural resources, cultural sites and sites with unique natural values recognized as such at the community, national or international level. Projects or programs must also not permanently interfere with access to and current use of such physical and cultural resources.

Projects are designed and implemented to avoid alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with recognized unique natural values at the community, national, or international level. Projects must not permanently interfere with the access, use and utilization of said physical and cultural resources.

Process:

- Identify ratification: Dominican Republic accepted the Convention in February 1985.
- Identify the national and local legal and regulatory framework for the recognition and protection of physical and cultural heritage.
- Describe in the area of influence of the project all the elements of cultural heritage, their location, and their vulnerabilities. The area considered should be large enough to be credible and should be chosen based on the impact generating agent (eg vibrations, landscape features) and an appreciation of its propagation capacity. Include all items that enjoy local or international protection.
- Determine if communities have access to cultural heritage.
- Determine if any of the heritage elements included in the List of World Heritage in Danger are located in the project area (see Annex G).

- Consider all project activities to identify the real risks for each of the identified heritage elements, taking into account the specific characteristics of the activity (location, size, duration, etc.) and the vulnerability mechanisms of each identified heritage element.

Outputs: A map indicating the relative position of the elements of interest of the physical and cultural heritage and the location of the project; physical and cultural heritage in the project area.

Principle 15 – Land and soil conservation

Projects or programs supported by the Fund will be designed and implemented in such a way that they promote soil conservation and avoid degradation or conversion of land or productive land that provides valuable ecosystem services.

Projects must promote soil conservation and avoid degradation or conversion of productive lands or lands that provide ecosystem services. It includes land administration and measures to prevent, mitigate or control erosion and soil degradation. Soil conservation should be incorporated into project design and implementation.

Process:

- Identify and describe fragile soils in the project area.
- Identify activities that can lead to soil loss.
- Identify land and/or productive land that provides valuable ecosystem services within the project area; that is, clean air, clean water, forest products, habitat for fish and wildlife, and carbon storage are also natural processes that are enhanced by careful management.
- Document the reasons why soil loss is unavoidable, and the measures that will be taken to minimize soil loss. Also, include how soil conservation has been promoted.
- Reasons why the use of these lands is inevitable and the alternatives that were evaluated.

Outputs: Maps, land and soil at risk.

FOR MORE INFORMATION ABOUT AF'S ENVIRONMENTAL AND SOCIAL PRINCIPLES, SEE:

<https://www.adaptation-fund.org/wp-content/uploads/2021/06/3.-ANNEX-3-Environmental-social-policy-March-2016-SP-FIN.pdf>

AF Gender Policy

The Fund's gender policy builds on existing gender policies and gender action plans of other climate funds.

It systematically integrates the key principles elaborated in the Fund's own Environmental and Social Policy (PAS), especially the principles on access and equity, based on marginalized and vulnerable groups and human rights. It highlights the principle of gender equality and women's empowerment as the goal that the Fund strives to achieve through its processes.

Recognizes and integrates the need to apply intersectional analysis to address gender-related differences in vulnerability and capacity to decrease that vulnerability and adapt to the impacts of climate change as a goal to understand the complexity and particularity of inequalities in the lives of women, women and girls and men and boys, including their systemic barriers and root causes. These depend on a multitude of factors such as the economic profile and social structure of the country or subnational region, specific climate impacts, variety of livelihoods, a number of sociocultural factors such as class, age or race, as well as other processes. of change in societies, such as those caused by globalization, migration, urbanization and economic development. These changes are expected to lead to new adaptation challenges for women and girls and for men and boys, respectively. To ensure the resilience of entire societies, those gender-differentiated adaptation needs must be addressed in a holistic, forward-looking and adaptive way.

The Fund's gender policy has the following objectives:

- (a) Ensure that the Fund achieves more effective, sustainable and equitable adaptation outcomes and impacts in its internal and external procedures that proactively analyze and seek to address the dynamic interlinkages between enhancing gender equality, empowering women women and girls, adaptation needs and other social challenges, vulnerabilities and exclusions faced by women and girls, men and boys and their communities, and to do so in an intersectional way and that does not exacerbate but corrects existing gender inequalities and close existing gender gaps;
- (b) Provide women and men regardless of their origin, age, race, ethnicity, religion, class, language, ability, gender identity, or other sociocultural factors an equal opportunity to participate in, contribute to, and benefit from activities supported by the Fund to strengthen its capacity for action, build its resilience and increase its capacity to adapt to the impacts of climate change and interrelated challenges; recognize the need for specific efforts to ensure the full and effective participation of women and address the role of men in contributing to gender-sensitive adaptation measures and the social changes that this requires;

- (c) Address and mitigate the potential risks of the projects and programs evaluated for women and men, girls and boys in relation to the specific adaptation measures financed by the Fund in accordance with the environmental and social policy of the Fund;
- (d) Contribute to addressing gaps in knowledge and data on gender-related vulnerabilities and accelerate learning on effective adaptation measures and strategies on gender equality;
- (e) Consider and meaningfully integrate the experiences, capacities and, as appropriate and relevant, traditional, local and indigenous knowledge of women, girls, men and boys and their various affected communities from Fund processes following a gender-responsive, participatory, inclusive and fully transparent approach to stakeholder engagement in effective adaptation measures.

Basic concepts:

- (a) Gender refers to the roles, behaviours, activities, rights and attributes that a given society at a particular time considers appropriate for women and girls and for men and boys. In addition to the social attributes and opportunities associated with being male and female, and the relationships between women and girls and men and boys, gender also refers to the relationships between those women and men. These attributes, opportunities and relationships are socially constructed and learned through socialization processes. They are specific to a specific context and time and modifiable. Gender determines what is expected, allowed and valued in a woman or a man in a given context. In most societies
- (b) Gender awareness: refers to the knowledge and recognition of differences in socially assigned gender roles, rights, privileges, responsibilities and obligations while accommodating and working around existing gender norms.
- (c) Gender balance: refers to the goal of having the same number of women and men in the decision-making bodies and in the personnel of the different levels of the institutional structures.
- (d) Gender blindness: refers to the lack of recognition that the roles, rights, privileges, responsibilities and obligations of women and girls and men and boys are assigned to them in social, cultural, economic and social contexts and situations. specific policies and give rise to inequalities.
- (e) Gender equality: refers to the equal rights, responsibilities and access opportunities of women, men, boys and girls, as well as the equal consideration of their respective interests, needs and priorities. As gender equality affects and benefits men and women, boys and girls, it is necessary that both women and girls and men and boys are fully involved in promoting gender equality and changing gender roles. . Equality between women and men is both a human rights issue and a precondition for achieving people-centred and sustainable development, as well as a parameter of such development.

(f) Gender equity: refers to the process of being fair to men and women, boys and girls. Recognizes the need for potential differential treatment that is fair and positively addresses bias or historical disadvantage or power imbalance resulting from gender roles or norms or differences between the sexes. It consists of fair and equitable treatment that takes into account the different needs of women and girls and men and boys, cultural barriers and (past) discrimination of the specific group.

(g) Gender gap: refers to any disparity and inequality between the condition, position or role of women and men in society. It concerns the difficulties in terms of their participation, their access to opportunities, rights, power to influence and make decisions, income and benefits, and control and use of resources.

(h) Gender identity: refers to the innate gender experience, deeply felt internally and individually by a person.

(i) Gender mainstreaming: refers to a strategy that has global support to promote gender equality³². Mainstreaming implies the process of assessing the implications for women and girls and for men and boys of any planned action, including legislation, policies or programs in any field and at all levels, thus generating an increase in the effectiveness of the interventions. It is a strategy to make the experiences and concerns of all people, regardless of gender, an integral part of the design, implementation, monitoring and evaluation of policies and programs in all political, economic and social spheres, so that that different gender groups benefit equally and inequality is not perpetuated.

(j) Responsiveness to gender: refers to the consideration of gender norms, roles and relations and to address the inequality generated by unequal norms, roles and relations through changes within a given social context achieved with corrective measures.

(k) Gender sensitive: refers to the consideration of gender norms, roles and relations, but does not necessarily address the inequality generated by unequal norms, roles and relations through corrective measures, beyond generating gender awareness.

(l) Gender transformative: refers to approaches with an active commitment to examine, challenge and change rigid gender and social norms and cultural values, and to address inequalities of power between people of different genders and the root causes of gender inequality and discrimination, as well as seeking to redefine the systems and institutions that create and perpetuate inequalities.

FOR MORE INFORMATION ABOUT THE AF GENDER POLICY, SEE:

https://www.adaptation-fund.org/wp-content/uploads/2016/04/Gender-Policies-and-Action-Plan_EN_FINAL-1.pdf

Guidance for compliance with the AF gender policy

The Environmental and Social Policy (ESP) and the Gender Policy (ESP and GP) are interrelated and mutually reinforcing. Both elements of the "Guidance" document need to be followed and complement each other. Principle 5 – Gender equality and women's empowerment always apply to each project under the AF, and for which it is necessary to identify risks.

EIs are required to carry out an initial gender assessment to select indicators with a gender perspective and design implementation and monitoring mechanisms with a gender perspective (see Annex N). This assessment will help identify project-related risks for gender equality and women's empowerment. Compliance must be ensured through EI's ESMS. This can start with recruiting TOR gender expertise for a project to achieve gender balance. The IE should consider designating a gender focal point among project staff to facilitate communication and support. Projects should consider gender checklists.

For example, look for gender checklists at:

<https://www.adb.org/themes/gender/checklists-toolkits>

Determinants for stakeholder consultation with a gender perspective

Participatory methods are necessary to address the key challenge of the under-representation of women or men throughout all stages of the project cycle. The following list details concrete principles, suggestions and recommendations on how gender-responsive consultation and participation can be ensured:

- Consult with male and female beneficiaries/stakeholders both individually and in groups.
- Select time and locations for consultations at times that are convenient; it may be different for men and women.
- Consider appropriate forms of communication, including issues of gender differences in access to information technology and literacy levels.
- Consider setting minimum quota and progress goals.
- Consider appropriate meeting formats; that is, female staff may need to conduct meetings and trainings.
- Make a specific effort to include national women's groups.

Initial gender assessment

- Required as part of project proposal development; it should be led by a specialist with experience in gender issues.
 - Establish a baseline data at the beginning of the project so that progress and results can be measured.
 - The analysis can start with the existing data.
 - Other data can be obtained through (a) reviews of the literature; (b) consultations (interviews, focus groups, workshops); and c) a survey or research project.
 - Data should be disaggregated by sex, age, and other factors such as ethnicity and socioeconomic realities (disaggregated by gender).
 - A gender specific cultural and legal context should be developed.
 - Focus on the differential impacts of climate change on men and women and their differential capacities to adapt to these, including an analysis of why these differences exist.
1. What makes men and women more vulnerable to the effects of climate change; And how can these vulnerabilities be reduced?
 2. Be aware of differences in access to resources such as time, property, finances.
 3. Take into account any gender division of labor (paid and unpaid work).
 4. Consider the gender-based power structure.

Reference documents

Main Policies and Operating Guidelines of AF

AF Operational Policies and Guidelines:<https://www.adaptation-fund.org/apply-funding/policiesguidelines/>

OPG Annex 3 – Environmental and Social Policy:https://www.adaptation-fund.org/wp-content/uploads/2013/11/AmendedMarch-2016_-OPG-ANNEX-3-Environmental-social-policy-March-2016.pdf

OPG Annex 4 – Gender Policy and Action Plan: https://www.adaptation-fund.org/wp-content/uploads/2016/04/Gender-Policies-and-Action-Plan_SP_FINAL-1.pdf

Preparation of the AF proposal – General

AF Mechanism for Handling Complaints:<https://www.adaptation-fund.org/projectsprogrammes/programme-complaints/>

AF Project Proposal Materials Webpage:<https://www.adaptation-fund.org/apply-funding/projectfunding/project-proposal-materials/>

AF Project/Programme Review Criteria:<https://www.adaptation-fund.org/wpcontent/uploads/2015/03/Review-Criteria-5.12.pdf>

Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Environmental and Social Policy:https://www.adaptation-fund.org/wp-content/uploads/2016/07/ESPGuidance_Revised-in-June-2016_Guidance-document-for-Implementing-Entities-on-compliance-withthe-Adaptation-Fund-Environmental- and-Social-Policy.pdf

Guidance Document for Implementing Entities on Compliance with the Adaptation Fund Gender Policy:<https://www.adaptation-fund.org/wp-content/uploads/2017/03/GenderGuidance-Document.pdf>

Instructions for Preparing a Request for Project or Program Funding from the Adaptation Fund:<https://www.adaptation-fund.org/wp-content/uploads/2015/03/OPG-ANNEX-4-2-InstructionsNov2013.pdf>

Manual of basic Environmental and Social Management System procedures and functions at National Implementing Entities:<https://www.adaptation-fund.org/document/manual-basic-environmentalsocial-management-system-procedures-functions-national-implementing-entities/>

Request for Project/Programme Funding from the AF (fillable template):<https://www.adaptationfund.org/wp-content/uploads/2015/03/OPG-ANNEX-4-1-Project-proposal-template-Nov2013.doc>

AF reporting requirements (related to proposals)

Alignment of Project Objectives/Outcomes with Adaptation Fund Results

Framework:<https://www.adaptation-fund.org/generic/results-framework-alignment-table/>

Methodologies for Reporting Adaptation Fund Core Impact

Indicators:<https://www.adaptationfund.org/wp-content/uploads/2016/04/AF-Core-Indicator-Methodologies.pdf>

Results Framework and Baseline Guidance – Project Level:<https://www.adaptation-fund.org/wpcontent/uploads/2015/01/Results%20Framework%20and%20Baseline%20Guidance%20final%20compressed.pdf>

Project Level Results Framework and Baseline Guidance

Document:<https://www.adaptationfund.org/wp-content/uploads/2015/01/AF-FinalDraftGuidance-wimpactproposal-10March11.pdf>

Project Performance Report (PPR) Review Process (2012):https://www.adaptation-fund.org/wpcontent/uploads/2015/01/AFB.EFC_.9.4.Rev_.1%20PPR%20Review%20Processes.pdf

Project Performance Reporting: Process, Structure, Content

(2011):<https://www.adaptationfund.org/wp-content/uploads/2015/01/ilovepdf.com-1.pdf>

Results Tracker Guidance Document:<https://www.adaptation-fund.org/wpcontent/uploads/2016/04/AF-ResultstrackerGuidance-final2.pdf>

Results Tracking (amendment to Project Level Results Framework and Baseline Guidance Document):http://www.adaptation-fund.org/wpcontent/uploads/2015/01/AFB.EFC_.13.4%20Results%20Tracking.pdf

Documents/ Background

Gender, Climate Change and Community Based Adaptation Guide Book

(UNDP):http://www.undp.org/content/undp/en/home/librarypage/environmentenergy/climate_change/gender/gender-climate-change-and-community-based-adaptation-guidebook-.html

Gender Equality Action Plan

(GEF):https://www.thegef.org/sites/default/files/publications/GEF_GenderEquality_CRA_Io-res_0.pdf

Log Frame Handbook (World

Bank):https://www.afdb.org/fileadmin/uploads/afdb/Documents/Evaluation-Reports-Shared-WithOPEV_/00158077-EN-WB-LOGICALFRAMEWORK-HANDBOOK.PDF

Making the Adaptation Fund Work for the Most Vulnerable Assessing Progress in The

Adaptation Fund:<https://germanwatch.org/de/download/3511.pdf>

Public-Private Dialogue (PPD) stakeholder mapping toolkit : a practical guide for stakeholder analysis in PPD using the net-map method (World

Bank):<http://documents.worldbank.org/curated/en/842721467995900796/Public-Private-Dialogue-PPDstakeholder-mapping-toolkit-a-practical-guide-for-stakeholder-analysis-in-PPD-using-the-net-mapmethod>

Social and Environmental Screening Procedure

(UNDP):<http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-andenvironmental-screening-procedure.html>

UNDP's Social and Environmental

Standards:<http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-andenvironmental-standards.html>

Who deserves to be funded? A closer look at the practices of vulnerability assessment and the priorities of adaptation funding-<http://climaps.eu/#!/narrative/who-deserves-to-be-funded>

The World Bank policy on access to information

(2013):<http://documents.worldbank.org/curated/en/843001468166481505/The-World-Bank-policy-on-accessto-information>

Documents prepared by the IDDI

Code of ethics

http://iddi.org/file/repository/Code_of_Ethics.pdf

Matrix for the evaluation of Environmental and Social Impacts

http://iddi.org/file/repository/METODOLOGIA_EVALUACION_DE_RIEGOS_PROYECTOS_26_02_2016.pdf

IDDI Environmental and Social Policy:

http://iddi.org/file/repository/Social_and_Environmental_Policy_Statement.pdf

IDDI Gender Policy:

http://iddi.org/file/repository/Manual_de_Conflicto_de_Interes.pdf

8.-Annexes

Annex A: Checklist for the identification of risks of the Management System

Table 1.- Identification of Risks by Principle of Action.

Environmental and social principles	Additional assessment for compliance	Potential impacts and risks
law enforcement		
Access and equity		
Marginalized and Vulnerable Groups		
Human rights		
Gender Equity and Women's Empowerment		
Fundamental labor rights		
Indigenous villages		
involuntary resettlement		
Protection of Natural Habitats		
Conservation of biological diversity		
Climate change		
Contamination prevention		
Public health		
Physical and Cultural Heritage		
Land and Soil Conservation		

INDICATIONS:

1. Include the required table with the checklist of environmental and social principles, and column (1) no further assessment required for compliance and column (2) potential impacts and risks – additional assessment and management required for compliance .
2. Beyond a check or "X" in the appropriate column, please include a full explanation of why column 1 or 2 was selected.
3. An additional box that further details a description of the environmental, social and gender safeguarding process; and responsible executing agent and their functions and responsibilities.
4. Additional information in the text before or after the required table with risk summary and subsequent categorization (A, B or C) of the project/program.
5. Include the reference to the Environmental and Social Management Plan (ESMP) in an annex.
6. Document a comprehensive overview of gender considerations

Table 2.- Risk Mitigation and Monitoring Measures

risks	Guy	Measures of Mitigation	monitoring
	SOCIAL		
	WBA		

INDICATIONS:

1. Once the risks have been identified, explain the impacts and potential affectation (Column 1)
2. Indicate the type of risk (Environmental or Social) in column 2
3. Specify the mitigation measures, specific actions and responsible. (Column 3).
4. Indicate the actions to follow and the monitoring system. (Column 4)



FONDO DE ADAPTACIÓN



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