




## UNICARIBE ENVIRONMENTAL AND SOCIAL SYSTEM

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**CODE: SASU-UNICARIBE-002 VERSION: 00**


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## 1. INSTITUTIONAL CONTEXT


### 1.1. Introduction

The University of the Caribbean (UNICARIBE) is a Higher Education Institution (HEI) created on October 12, 1995. For 25 years, it has been a pioneer in the implementation of an updated blended learning model, based on the theory of connectivism, which is linked to the intensive use of technologies for the teaching-learning process. UNICARIBE offers solutions to the training needs of professionals in areas required by the current and future labor market, in line with the needs of the community.

Currently, UNICARIBE has five four-story buildings and one five-story building at its headquarters located at Av. 30 de Mayo, Km. 7.5, Santo Domingo City. These buildings have basic public services (water, electricity, sanitary sewerage, storm drainage, etc.) provided by the municipality, as well as private telecommunications, surveillance, and security services.

### 1.2. Philosophy

The Universidad del Caribe is a higher education institution with a humanistic philosophy focused on the education and development of human beings within a framework of values, dignity, and ethical principles, creating the conditions for the harmonious and comprehensive development of the individual. In this sense, the university as an academic institution was founded with the purpose of generating new knowledge that can be applied for the benefit of the society in which it is located. In addition, it must contribute to the integration of competent professionals into the world of work, who develop a high profile in terms of finding solutions to problems and situations with creativity, respect for life, sustainability, and resilience. The idea underlying the processes at the university level, from the perspective of teaching, is to train people in different disciplines to enhance their abilities to


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responses to the interests in the field of work in which they will perform, but with the common good in mind.

As a synergistic element to the teaching function, which in many cases takes precedence over other university activities, UNICARIBE emphasizes research. The latter is a key element in the production and dissemination of knowledge. Research goes hand in hand with teaching in order to enrich the theoretical and procedural foundations of each particular area, as well as to enhance teacher training in the field of research. The institution firmly believes that there should be a two-way relationship between one function and another, creating a culture of collaborative work within the UNICARIBE community. Infusing teaching with nuances of research through active methodologies and critical thinking, such as problem-based learning, case studies, and debates, among others, optimizes knowledge construction and energizes classes with situations close to real life.

To complete the academic cycle of action, there is a third function or role that the university must perform. It stems from its unavoidable mission to share knowledge and seek to benefit the most vulnerable in order to collaborate in improving the quality of life of the population. This complements the attitudinal competence that allows for the comprehensive training of students. We cannot exclude the central objective of the university, which is to encourage and promote social change for the better. It is therefore a question of "extending" the possibilities of collaboration and knowledge to all those who can benefit from what happens within the university. This approach is known as the university's social responsibility or outreach.

It should be noted that the important thing is not only to consider this element as one aspect of the other two: teaching and research. On the contrary, it is to take a synergistic approach to the three roles of the university. In other words, it is necessary to understand the importance of continuous improvement in the development of educational processes,

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strengthened through research and put into practice for social good through outreach.

In this regard, connection appears as an underlying element, as it seeks to leverage resources and human capital in problem solving, both in companies, in the public sector, and in society, bringing educational phenomena closer to social reality and involving future professionals in raising awareness aimed at enhancing their own quality of life and that of others. Within this context, UNICARIBE embraces the following institutional philosophy:

### **Mission**

To be a distance learning and inclusive university, recognized for its excellence, cutting-edge technology, the variety and relevance of its programs, and the competitiveness of its graduates.


### **Vision**

To train ethical, competent, innovative professionals who are committed to the development of their environment, through an updated and inclusive model of distance learning with highly qualified teachers.

### **Values**

The institutional values are based on training professionals who contribute to the development of society. The actors and graduates of the Universidad del Caribe exhibit the following values:

- Quality
- Commitment
- Equity
- Ethics
- Humanism

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- Inclusion
- Innovation
- Leadership
- Critical thinking
- Respect
- Responsibility

### 1.3. Educational Model of the University of the Caribbean (MEDUC)

MEDUC is based on the principles and postulates that govern distance higher education. It guides and directs pedagogical activities at the institution. MEDUC is defined as a teaching-learning-assessment process that develops the best pedagogical and didactic practices of face-to-face and virtual methodologies, incorporating them in an interrelated manner to educational technology platforms in order to fulfill the institutional purpose of contributing to the training of well-rounded graduates who promote the values of commitment, equity, ethics, humanism, inclusion, innovation, leadership, critical thinking, respect, and responsibility.

The Educational Model of the Universidad del Caribe is characterized by being essentially innovative, inclusive, sustainable, extensive, and above all, relevant. When its innovative nature is highlighted, it refers to a dynamic and effective educational model that integrates teaching, self-study, and research with educational technology platforms to ensure quality learning.

Similarly, it emphasizes inclusion, as it offers equal opportunities for university education to applicants who meet the admission and retention requirements, responding to a wide range of specific needs with the aim of maintaining an environment of equity. As a sustainable university, it develops a vision of higher education that transforms the lives of individuals, communities, and

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societies, with the aim of adding value in the pursuit of sustainable human development.

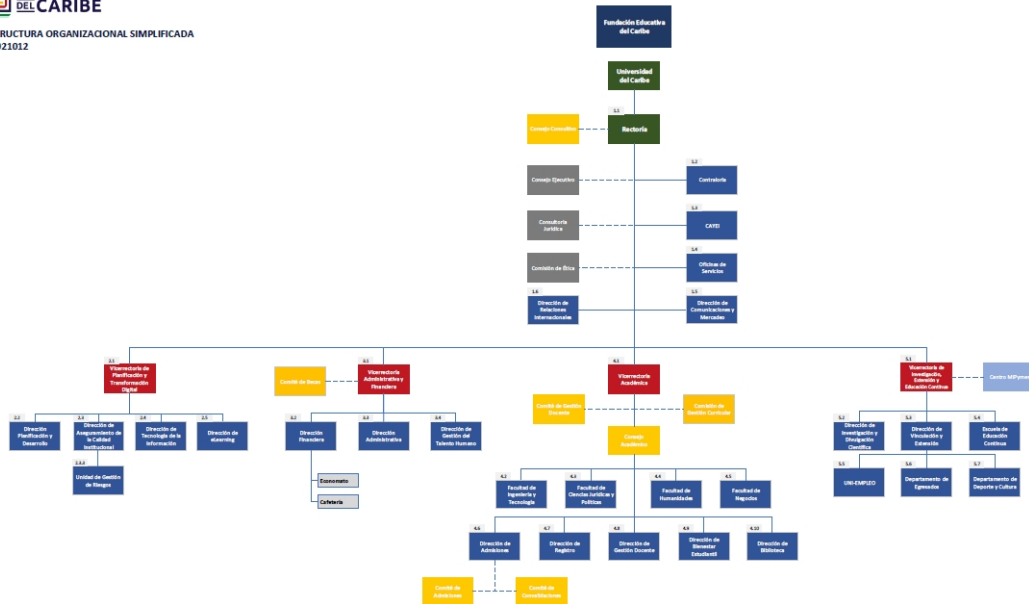
Its model, through the Blackboard and Banner educational technology platforms, has the capacity to reach, while retaining its essence, any place in the world where a student may be located, becoming a robust extension mechanism. The relevance of MEDUC is reflected in the ability of its graduates to engage dynamically with the new demands of society and scientific and technological advances in different areas, thanks to the training they receive based on multiple competencies and values.

#### **1.4. Organizational Structure**

UNICARIBE has an organizational structure consisting of a rector's office and four vice-rectors' offices, which work together to manage the educational process, as well as institutional impacts and risks in light of social and community requirements. In this regard, the Academic Vice-Chancellor's Office directs the entire teaching-learning process and provides useful information that facilitates the development of social management through the Vice-Chancellor's Office for Research, Extension, and Continuing Education, which is responsible for research and outreach.

The Vice-Rector's Office for Planning and Digital Transformation develops and incorporates innovative processes drawn from academic experiences. It also evaluates their quality and plans risk management in the short, medium, and long term. Finally, the Vice-Rector's Office for Administration and Finance manages human resources and economic policies. The organizational chart is as follows:


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## 2. ENVIRONMENTAL AND SOCIAL MANAGEMENT AT UNICARIBE

Environmental and social management in the Dominican Republic is becoming increasingly important in both public and private organizations. National and international regulatory frameworks incorporate environmental and social management as fundamental pillars of institutional management and good governance. In this regard, here are some references: *"The right of every person to a comprehensive, quality education, on equal terms and with equal opportunities, with no limitations other than those derived from their aptitudes, vocation, and aspirations"* (Dominican Constitution, Article 63). In line with the above, Article 75, paragraph 11, establishes as a fundamental duty "to develop and disseminate Dominican culture and protect the country's natural resources, ensuring the conservation of a clean and healthy environment."

The United Nations, in its Framework Convention on Climate Change, aware that this reality represents a threat with potentially irreversible effects for human societies and the planet, approved the Paris Agreement on December 12, 2015. This agreement requires the cooperation of all countries and their participation in an effective and appropriate international response, with a view to accelerating the reduction of global greenhouse gas emissions.

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aimed at accelerating the reduction of global greenhouse gas emissions. Similarly, the United Nations Conference on the Environment, Stockholm Conference, establishes that environmental education is indispensable for broadening the bases of well-informed public opinion and the behavior of individuals, businesses, and communities, inspired by a sense of responsibility for protection and improvement in all its human dimensions.


Furthermore, the University of the Caribbean (UNICARIBE) is a signatory to the Pact for Educational Reform signed on April 10, 2014, which establishes that education is a right and a public good with universal and equitable access, aimed at training citizens who are aware of their rights and duties and committed to the sustainable use of natural resources and the protection of the environment, among other things. In addition, UNICARIBE held the national presidency of the Network of Universities of Latin America and the Caribbean for Disaster Risk Reduction during the years 2017-2019 and won first place in the Sustainable and Resilient Universities Campaign competition, which was funded by OFDA/USAID and has the following objectives:

**Component 1:** Strengthening the capacity of higher education institutions in the Dominican Republic to increase access, retention, and completion rates in tertiary education, focusing on young people in high-risk environments.

**Component 2:** Closing the gap between secondary education and tertiary education.

**Component 3:** Provide career support and develop services to connect students to the labor market in the Dominican Republic.

UNICARIBE, aware of its mission to *"train ethical, competent, innovative professionals committed to the development of their environment through an updated and inclusive model of distance education with highly qualified teachers,"* addresses


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a significant proportion of students from high-risk environments. The vast majority come from marginalized urban neighborhoods in the National District, the province of Santo Domingo, and the interior of the country. Their professional training represents hope for a better life, both for their immediate surroundings and for their entire community. The origin of the university's active students is distributed throughout the country, largely due to the Educational Model of the University of the Caribbean (MEDUC), which uses a blended and virtual learning approach, allowing thousands of people in any geographical location, including other countries, to access higher education through the institution.

Other social and environmental development initiatives offered by UNICARIBE include:

1. Offering 100% scholarships to new applicants who demonstrate a disability, this admission policy being part of the institution's social responsibility.
2. Students have access to a Motivation Plan that offers the university's student welfare benefits, as well as professional profiles, career guidance, and the opportunity to interact with psychologists, program directors, and service tutors, among others.
3. Initiatives to level basic or cross-cutting skills for better development and learning in the selected professional plan. Leveling courses such as: a) Basic and intermediate Office package, b) Teaching-learning methodologies with ICT tools for LMS environments, and c) Leadership and entrepreneurship.
4. Flexible initiatives and programs that address the needs and challenges faced by students so that they can overcome them without having to abandon their studies.

This context raises the need for a partnership with the Ministry of Education (MINERD) to design programs that allow for student integration from secondary to tertiary level. This should be coordinated with the policies, initiatives, and programs developed by

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to strengthen the system of student retention indicators and ensure that a greater number of men and women contribute productively to the country's economic and social development. Retention is achieved in its entirety when tertiary studies are completed within the time and space conceived in the curricular structure.

In this regard, UNICARIBE has programs in place to systematically reduce student dropout rates. Taking into account the current context of the COVID-19 pandemic and the individual, social, and institutional factors that contribute to student dropout rates, several proposals have been put forward to reduce these rates, such as:

1. Motivational support program for students.
2. Affordable financing program for students.
3. Monitoring and inclusion program for students, through a system of alerts on student performance levels.
4. Permanent university evaluation program, recognition, and/or teacher awards.
5. Student welfare, technical support, and tutoring program.

Technical support is also provided to students and graduates, potential entrepreneurs, and projects linked to responding to national economic needs through the coordination of academia with productive sectors, via the institutional bodies of UNIEMPLEO and the MSME Center.

Environmental and social management incorporates integrative processes through which community members build values, knowledge, skills, attitudes, abilities, techniques, and commitments aimed at defending and respecting the environment, which are essential for a healthy quality of life and its sustainability, framed within ethical behavior for the common good. It is also necessary to encourage and incorporate participatory activities involving community organizations such as clubs, religious groups, and sports groups, among others.

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### 3. ENVIRONMENTAL AND SOCIAL SUSTAINABILITY POLICIES AND PROCEDURES

The Universidad del Caribe bases its practice on environmental and social management that impacts all areas and components of the institution as part of its commitment to local and global society for the construction of safe, sustainable, and resilient environments with an empowered and preventive population.

The implications and scope of these policies have a direct impact on other specific policies within the system, such as: investments and acquisitions, donations, effective use of water and energy, and solid waste management.

#### 3.1 Specific SASU policies and procedures

##### A. Investments and Acquisitions


Investments must comply with legal requirements (environmental permits, land use, and seismic regulations) and feasibility studies to ensure their sustainability over time. For procurement purposes, suppliers must demonstrate that they manage their processes in accordance with sustainable environmental and human development standards.

##### Procedures:

- i. Submission of requests. Always based on needs.
- ii. Presentation of proposals.
- iii. Evaluation of proposals. Application of established environmental criteria.
- iv. Approval of proposals. Depending on the amount, Purchasing Department or Executive Board.

##### B. Donations

Donations must be consistent with the institutional mission, giving priority to funds that promote and support environmental and social development projects. The donor must always be a moral and ethical reference in their practice of caring for and protecting the environment.

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**Procedures:**

- I. Submission of offer as donor.
- II. Evaluation of the donor. Application of established criteria.
- III. Approval of the donation.
- IV. Establishment of agreement and signing by the parties.

**C. In the Effective Use of Water and Energy**

The effective and rational use of water and energy is an institutional priority and part of its identity. Its management will always be mediated by a program and protocols of action to guarantee its sustainability.

**Procedures:**


- I. Establishment of criteria for its application.
- II. Institutional program with policy and guidelines for its development.
- III. Application of protocols for the use of water and energy.
- IV. Ongoing evaluation of compliance with policy and protocols.

**D. Solid waste management.**

Promotion and ongoing awareness-raising of comprehensive waste management for the reduction, reuse, recycling, utilization, and recovery of waste.

**Procedures:**

- i. Establishment of priority areas. Academic (students) and administrative.
- ii. Development of training and information campaigns through institutional media.
- iii. Continuous updating of training content in the general cycle subject "Environmental Education."
- iv. Implementation of specific actions to achieve the policy, for example: Classification of waste into organic and inorganic, generated by UNICARIBE prior to collection by the local council or town hall.
- v. Monitoring and evaluation of achievements and scope.

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### General Objective


- To ensure environmental and social management at the University of the Caribbean that complies with the guidelines required by global and national frameworks in a context of participation, continuous improvement, and institutional development.

### Specific Objectives

- Strengthen UNICARIBE's internal governance through clear and precise procedures on environmental and social management that contribute permanently to a healthy, sustainable, and inclusive environment.
- Facilitate the flow of technical, social, and environmental information on various aspects related to the sustainable use and management of natural and human resources.
- Create mechanisms to promote a community that is more resilient to the effects of climate change and, in turn, aware of the need to care for and conserve its resources.

### 3.2 Actions Implemented by UNICARIBE


- Design, development, and incorporation of an environmental and social component into the curriculum in a cross-cutting manner.
- Promotion of research related to the identification and solution of environmental and social problems.
- Management of strategic alliances with different social and community groups.
- Ongoing training.
- Provision of facilities and incentives for projects of social and environmental interest.
- Promotion of virtual programs for teachers and community members on social and environmental management.
- Creation of volunteer programs.
- Preparation of technical reports on activities carried out within the framework of policy implementation.

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- Evaluation of the results of the actions implemented within the framework of this policy.

### 3.3 Environmental Sustainability and Risk Management Policies

1. UNICARIBE identifies, evaluates, and manages internal procedures in response to potential environmental risks and impacts for each new construction or renovation project, in addition to ensuring compliance with social impact, sustainability, and occupational health regulations, whether direct, indirect, synergistic, or cumulative, for each new facility and in the different phases of the project (design, reconstruction or restoration, construction or expansion, operation, and maintenance), among other activities.
2. In managing its projects, UNICARIBE identifies the person within the organization who is responsible for ensuring compliance with this Environmental and Social Sustainability policy, defines their roles, responsibilities, and authority within the organizational structure, with the appropriate financial and human resources for its implementation and effective communication at all levels of the organization.
3. UNICARIBE uses an environmental and social risk matrix for each phase of each project in all its operations and stages, with the purpose of monitoring and controlling the necessary local permits or licenses.
4. To ensure compliance with internal procedures, the institution has a specific Environmental Management and Adaptation Plan (PMAA) for each building it constructs and restores, with appropriate management measures to address each environmental impact and risk.
5. UNICARIBE has a monitoring and evaluation matrix with key performance indicators (KPIs) to measure the effectiveness of the PMAA and compliance with the country's contractual and legal obligations, designating a competent authority to grant authorizations and permits, ensuring compliance with them.


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6. The institution will submit a consolidated annual report on the status and compliance of all E&S and OHS policies and measures applicable to the project (internal audit) or through an E&S expert (external audit).
7. UNICARIBE develops a Social Stakeholder Management Plan (vulnerable or disadvantaged groups) that includes local authorities, neighbors, and nearby communities (within a 500-meter radius of each facility), with measures that allow for their effective participation with mechanisms and strategies that guarantee the representativeness of the affected communities, details of participation, information and dissemination procedures, protocols for interviews and training meetings, and their management in the media and social networks.
8. UNICARIBE develops an Occupational Health and Safety Policy (OHS) that guarantees the health and safety of employees, contractors, suppliers, and the communities in which the institution is located, with appropriate actions to prevent and avoid accidents and damage to health.

#### 4. WORK AND WORKING CONDITIONS

UNICARIBE defines the aspects of work and working conditions in the document ***"Human Resources and Institutional Welfare Policies and Procedures,"*** which contains the rules and conditions related to the selection and hiring of personnel; working hours and breaks; vacations; training and development of employees; leave and licenses; remuneration and benefits; the rights and obligations of both the employer and employees; behavior and disciplinary measures; among other aspects. (See Annex 2: *"Human Resources and Institutional Welfare Policies and Procedures"*).

In addition, the institution offers a diploma course for the productive sector on Occupational Safety and Health. It is also a member of the Latin American and Caribbean University Network for Disaster Risk Reduction (REDULAC/RRDD) and, within the

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framework of the Sustainable and Resilient Universities Project of the United Nations Office for Disaster Risk Reduction (UNISDR), sponsored by the Office of Foreign Disaster Assistance and the United States Agency for International Development (USAID/OFDA), the Central American Higher University Council (CSUCA) and REDULAC/RRD participated in the second phase of the competition to implement the "Sustainable and Resilient Universities Campaign" from 2017 to 2019. This project included various planning and training activities and an earthquake drill. (See attached letter from USAID and final report on the project).

In 2020, UNICARIBE obtained funding from the Office of Foreign Disaster Assistance and the United States Agency for International Development (USAID/OFDA/LAC) for its project "UNICARIBE Más Segura, Sustainable, and Resilient Project, whose main objective was to strengthen the response capabilities of the University of the Caribbean. The project lasted nine months and ended in December 2020.

As part of the process of submitting proposals to the National Fund for Scientific and Technological Innovation and Development (FONDOCYT) of the Ministry of Higher Education, Science, and Technology (MESCYT), UNICARIBE was approved for funding for its project "Design, Production, and Evaluation of Augmented Reality Learning Objects for Teaching Chemistry." Period: January 2020 - 2022. It is currently underway, with a budget of \$6,853,845.89. (See MESCyT approval letter in the Annexes).

The United Nations Development Program (UNDP), in the context of establishing the human development index in the country for 2014, contracted the University of the Caribbean in 2013 to conduct a study and develop indicators for the index (health, education, income) for the province of Espailat. This province is located in the northern part of the Dominican Republic. Amount: US\$10,000. (See the final study report in the Annexes).


Another SENA-UNICARIBE project was carried out with the Presidential Agency for International Cooperation (APC-COLOMBIA), through the Ministry of Planning and

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Development, for the exchange of good practices in curriculum design between UNICARIBE-RD and SENA-Colombia. The objective of the virtual workshop was to design a curriculum with methodologies and technical tools that contribute to technical and professional training, focusing on the areas of agro-industry and occupational health and safety management in the Dominican Republic. During the process, we made an adjustment to the agenda with the intention of taking advantage of the technical knowledge of the SENA facilitators to instruct UNICARIBE teachers in the teaching-learning process of the apprentice, emphasizing the knowledge matrix, developing specific skills in practice through the UNICARIBE program, applying knowledge, capacities, and skills in the process of its execution, evidenced in the learning guide, an excellent resource for apprentices and aiding inclusion, as apprentices with hearing impairments can acquire their training, since no apprentice is disqualified, but rather dispatched or completes their training when they are ready to enter the business sector.

#### **4.1. Labor Relations: Working Conditions and Administration**

UNICARIBE sets out the working conditions and administration of labor relations in its documents on ***"Policies and Procedures: Human Resources Management and Institutional Welfare"*** and ***"Policies and Procedures: Election, Delegation, and Institutional Succession,"*** valuing the objectives and rights of workers, types of workers, non-discrimination, labor supply, gender violence and harassment, freedom of association, human trafficking, employment, demobilization and downsizing, health and safety (of workers, the community, and use of security forces), components of IFC Performance Standard 2, Labor and Working Conditions, as referred to in the document ***"Summary of the Environmental and Social Review (ESR), UNICARIBE Inclusive Higher Education Project"*** and the ***"IDB INVEST Implementation Manual on Environmental and Social Sustainability Policy,"*** (Bid Invest, 2020).

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#### 4.1.1 General Policies for Human Talent Management and Institutional Well-being

The policies of UNICARIBE's Human Talent Management Department (DGTH) include a human talent management system for handling administrative and support processes for the institution, which involves requisitioning, attracting, selecting, hiring, recruiting, and selecting personnel; induction, performance evaluation, training, and development of administrative and teaching staff; and the retention and departure of staff in accordance with the profiles and functions defined by the institution. In addition, they contain the principles of gender equality and non-discrimination, equal opportunities, and fair treatment; the prohibition of employing minors; the prohibition of harassment in the workplace and the inclusion of penalties for sexual harassment; ways of dealing with stakeholders; and, in situations of conflict of interest, information management and fraud prevention.

These policies stipulate that if an employee or collaborator violates any of these principles, they will be subject to corrective measures or disciplinary actions that could lead to the termination of their employment contract, classified as: minor, serious, or very serious.

Institutional Welfare policies ensure the implementation of mechanisms that promote actions for the maintenance and progressive improvement of the institutional climate and quality of life throughout the community, through promotions, incentives, benefits, and procedures; such as the scholarship application policy for administrative employees, teachers, and dependents, respectively. These scholarships may be full or partial, for undergraduate and graduate studies, at all levels. (See Annex 3 on ***"Policies and Procedures: Human Resources and Institutional Welfare Department"***).

All aspects related to work and working conditions are managed by the Human Talent Management Department, which assigns competent employees to the different processes based on their education, training, work experience, and skills defined in the UNICARIBE job description and profile.

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#### **4.1.2. Working conditions and terms of employment**


UNICARIBE complies with labor and OSH laws in the Dominican Republic and the conventions of the International Labor Organization (ILO). These two instruments regulate the manner and conditions of personnel selection and hiring; working days and hours, and breaks; vacations; leave; flexible work arrangements to promote collaboration and productivity; salaries and benefits; employee and employer rights and obligations; conduct and disciplinary measures; asset security; risk prevention; and workers with disabilities, among others. To reinforce knowledge of these working conditions, all administrative and teaching staff working at the Institution undergo appropriate training and induction.

#### **4.1.3. Labor organizations**

UNICARIBE complies with local legislation that recognizes workers' rights to form and join labor organizations. It also assumes all employer responsibilities arising from such legislation, including ILO international conventions and treaties related to workers' rights to which the Dominican Republic is a signatory (Convention No. 87 concerning Freedom of Association and Protection of the Right to Organize and Convention No. 98 concerning the Right to Organize and Collective Bargaining).

#### **4.1.4. Non-discrimination and equal opportunities**

The Dominican Republic is a signatory to several ILO international conventions and treaties related to workers' rights, including Convention No. 100 on equal remuneration and Convention No. 111 on discrimination (employment and occupation). UNICARIBE, within its HR policy, establishes respect for

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individual diversity and equity as corporate values, proceeding with justice, equality, and impartiality, seeking a positive and inclusive social impact.


#### **4.1.5. Mechanism for Handling Internal and External Complaints or Suggestions**

UNICARIBE has a mechanism for handling complaints from employees or other contracted personnel through the Human Resources Department. The system uses an internal and external communication form for "Handling complaints, claims, and suggestions," which is easily accessible through printed or digital forms to record the complaint or inquiry. This allows the problem or suggestion to be identified, offering timely responses and not limiting the filing of any legal or administrative recourse applicable under local national labor regulations or legislation, while respecting the free expression of the complaining personnel.

Complaints or suggestions, both internal and external, must be answered within 72 hours, either online or through direct contact (telephone or cell phone), which will generate a report on the effectiveness of problem solving and speed of response.

#### **4.1.6. Protection of the Workforce**

The Dominican Republic is a signatory to several ILO international conventions and treaties related to workers' rights, including Convention No. 138 on minimum age, Convention No. 182 on the worst forms of child labor, Convention No. 29 on forced labor, and Convention No. 105 on the abolition of forced labor. Similarly, the country has comprehensive labor legislation that regulates, among other aspects, the length of the working day, working hours, overtime, paid rest days, minimum remuneration, family allowances, legal bonuses, and minimum occupational health and safety requirements.

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#### **4.1.7. Occupational Health and Safety**

In compliance with the Occupational Health and Safety Regulations (Decree No. 522-06 and Resolution No. 04/2007), UNICARIBE has occupational health and safety management policies in place that seek to protect the health and safety of employees, contractors, suppliers, and the communities in which the institution is located, with appropriate actions to prevent and avoid accidents and damage to health. Establishing the following Occupational Health and Safety (OHS) policies:

- 1.** UNICARIBE has a management system in place to detect, identify, evaluate, control, and avoid risks, and to ensure accident-free working conditions.
- 2.** UNICARIBE ensures that all employees, contractors, suppliers, and visitors comply with all laws, regulations, and legal obligations regarding occupational health and safety applicable to the project.
- 3.** UNICARIBE supervises that all employees, contractors, suppliers, and visitors take responsibility for their own safety and, at the same time, carry out their activities safely and in compliance with current health and safety standards, procedures, and regulations.
- 4.** UNICARIBE has a medical office and nursing station that provides services in case of emergencies.

UNICARIBE's Workplace Health and Safety Program (WHS) for new or existing projects includes:

- 1.** The identification of potential occupational health and safety risks to workers based on the work they perform.
- 2.** Risk assessment, risk map, and an intervention plan.
- 3.** Details of the prevention and protection measures implemented.
- 4.** Safety briefings for visitors and occupational health and safety training for employees.

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5. Specific training for workers and emergency response teams.
6. Mandatory occupational health and safety medical examinations.
7. Procedures for compiling statistics and reporting occupational accidents and illnesses.
8. Procedures and a mechanism for notifying key social actors (response agencies, local authorities) in the event of fatalities or serious accidents.
9. Procedure for analyzing the root causes of accidents to investigate the cause of incidents or accidents that occur at any of the sites and to ensure the implementation of corrective actions to prevent them in the future.


As part of its SGAS, UNICARIBE has procedures in place to monitor workplace accidents and produce statistics related to: accident rates, which take into account all incidents that result in lost work time and the nature and severity of each accident or incident, determined by the number of days lost in relation to the number of accidents and days lost.

Additionally, in the wake of the pandemic caused by Coronavirus Disease 2019<sup>1</sup> ("COVID-19"), the Institution will develop a Plan for the Surveillance, Prevention, and Control of COVID-19 at Work, in accordance with current health regulations and sectoral protocols<sup>2</sup> following the declaration of a national health emergency by the National Government of the Dominican Republic. The objectives of the aforementioned plan will be:

- a. Establish guidelines for the surveillance, prevention, and control of occupational health during the pandemic.
- b. To establish guidelines for returning to work.

<sup>1</sup> COVID-19 is the infectious disease caused by the coronavirus discovered in Wuhan, China, in December 2019 (<https://www.who.int/emergencies/diseases/novel-coronavirus-2019>).

<sup>2</sup> Ministerial Resolution No. 239-2020-MINSA, approving the "Guidelines for the health surveillance of workers at risk of exposure to COVID-19" and amendments.

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- c. Ensure the sustainability of the surveillance, prevention, and control measures adopted to prevent the transmission of COVID-19.

#### **4.1.8. Workers Hired by Third Parties**

UNICARIBE takes regulatory measures for health and safety in relation to construction project work, in accordance with Convention 167, Res. No. 31-97, of the Ministry of Labor and the international conventions of the ILO, supervising the different parts of the project and ensuring compliance with the health and safety measures to be complied with by the main contractor or construction company responsible for the construction project, especially the hiring and provision of outsourced personnel services, i.e., contracted workers.

UNICARIBE will be responsible for ensuring compliance with the following measures, which must be adapted for the contracting of work by construction companies, such as:

- a. Ensuring that the workers hired by its contractors belong to legally constituted companies, have recognized integrity, and have an adequate environmental and social management system compatible with the requirements of ND-2.
- b. Establish policies for contracting third parties or external services and procedures for managing and monitoring the performance of those third-party employers.
- c. Ensure that workers hired by third parties have access to the complaint mechanism, whether that of the Contractor or the Institution.
- d. Guarantee that workers hired by third parties have the right and duty to participate in establishing safe working conditions and to express their opinion on the working methods adopted that may affect their health and safety.
- e. Develop a training program on this contracting policy, which will be given to all personnel who contract external services.

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- f. Inform contracted workers about emergency and disaster safety measures, as well as environmental sustainability and occupational health mechanisms.

#### 4.1.9. Supply chain


UNICARIBE's supply chain is ensured through a questionnaire to determine whether suppliers comply with:

- a. Current labor and occupational health and safety legislation, in particular the prohibition of child labor and forced labor, non-discrimination, gender equality, and ensuring safe working conditions, as well as applicable environmental legislation, in order to minimize environmental impacts by controlling emissions into the atmosphere, properly managing and treating liquid and solid waste, and rationally consuming natural resources in its processes.
- b. A provision that blocks current or potential suppliers who do not comply with labor and OHS legislation or environmental regulations (and thus prevents the Company from doing business with them).

## 5. FUNCTIONS AND RESPONSIBILITIES FOR THE IMPLEMENTATION OF THE SASU AND ORGANIZATIONAL CHART

The Institution has formed a commission to monitor the UNICARIBE Environmental and Social System, composed of:

1. Dr. Milagros Yost, Member of the Advisory Council and advisor on Environmental Sustainability and Risk Management Policies.
2. Dr. Zoraima Cuello, Executive Vice-Rector.
3. Dr. Clara Tapia, Academic Vice-Rector of UNICARIBE.
4. Shahily Pimentel, Vice President for Administration.
5. María Gabriela Bonnelly, Vice President for Finance.
6. Dr. Rafael Núñez, Vice President for Research.

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7. Denisse Morales Billini, Director of Institutional Quality Assurance.
8. Lourdes Contreras, Director of Human Talent Management.

## 6. PREPARATION AND RESPONSE TO EMERGENCY SITUATIONS: PROTOCOLS


### 6.1. Context

Due to its geographical characteristics and social and economic factors, the Dominican Republic is exposed to a high number of threats that pose a risk to human settlements in different regions of the country. Earthquakes, tropical cyclones, floods, traffic accidents, and epidemics are some of the threats that can cause damage to the physical integrity and property of inhabitants, vital infrastructure (such as educational centers), and, in general, the well-being of the population.

To address the above context, "*Emergency and/or Disaster Response Plans*" have been developed based on disaster risk analysis and the advance formulation of measures to provide an adequate and appropriate response to possible adverse events or situations that may pose a threat to society.

The Universidad del Caribe, concerned for the well-being of its users and the community in general, and taking into account the severe effects that emergencies and disasters can cause, has decided to develop this **Emergency and/or Disaster Response Plan**, a tool that allows for the proper management of risks to protect the integrity of people, material goods, and, in general, the well-being of the university community.

The University of the Caribbean (UNICARIBE), aware of its responsibility to the university community, presents this project, the "**Update to the UNICARIBE Emergency and/or Disaster Response Plan**," with funding from the United States Agency for International Development (USAID) and the Research Triangle Institute (RTI), thus continuing with

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development and sustainability of the university in the prevention and response to emergencies and disasters.

With the project "A Safer, More Sustainable, and More Resilient UNICARIBE," the participation of the Universidad del Caribe prioritizes the safety of the university campus, which has a population of more than 30,000 students per year. This work allows for the updating of the risk variables to which this higher education institution is exposed in order to achieve a reinforced and consolidated tool for disaster risk reduction in the UNICARIBE university community.


With the development of this Emergency and/or Disaster Response Plan tool, UNICARIBE contributes to the construction of a Dominican society that promotes the transfer of knowledge and sustainable and resilient practices that reduce disaster risks in higher education institutions, thus advancing the State's objectives for the sustainable development of the nation.

### General Objective

- To have an updated response tool for emergency and/or disaster situations that may arise at the University of the Caribbean.

### Specific Objectives

- To carry out an assessment of the current status of the University of the Caribbean's Emergency and/or Disaster Response Plan.
- To improve response procedures for acting in the event of an emergency or threat within the facilities of the University of the Caribbean.
- Establish protocols for action that indicate the steps to be taken for timely and safe control, with the least possible damage, in the event of different risk situations affecting the facilities and the university community.

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## 6.2. Risk scenarios

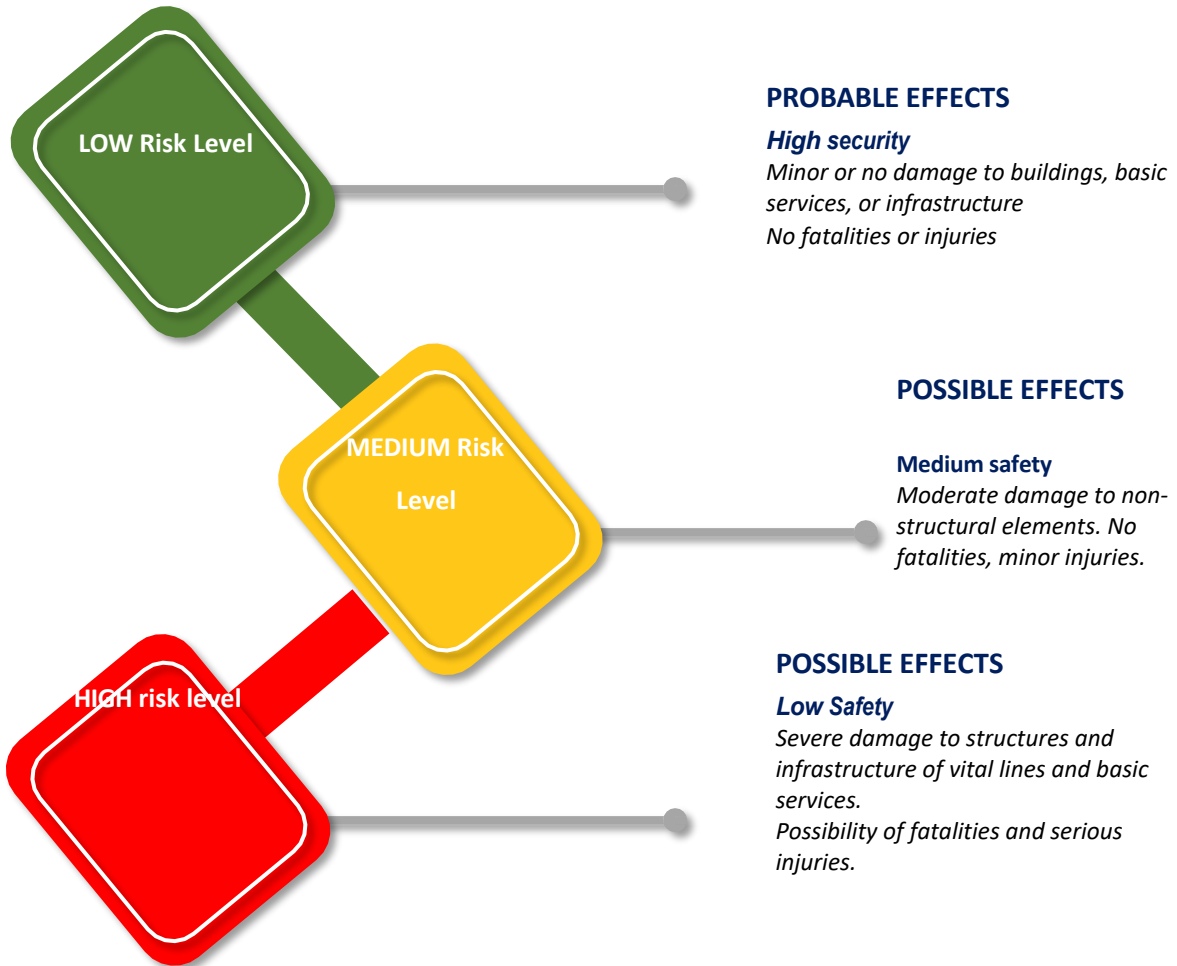
Disaster risk occurs when conditions of threat and vulnerability, which are risk factors, coincide. Therefore, for adequate risk management, it is necessary to understand how these factors interact and configure specific risk situations that represent real possibilities of affecting communities, the ecosystems that support them, and their livelihoods.


## 6.3. Risk levels and probable effects

The risk level analysis is based on the Assessment Matrix of the University Institution Security Index (ISIU) tool (Pieter, N., 2018).

**RISK LEVELS: LOW, MEDIUM, HIGH**

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#### 6.4. Action plan for the university community: Protocols

PROTOCOLS FOR NATURAL EVENTS AND/OR EMERGENCIES	
EARTHQUAKE	
BEFORE	Consult a construction professional to identify the most vulnerable areas of university facilities and consider making improvements to address issues that could pose a risk in the event of an earthquake. earthquake.
	1. Identify places where there is great danger in this type of disaster, such as windows, glass doors, and hanging objects.
	2. Securely fasten heavy items that could fall, such as shelves and objects hanging from walls, to the walls. Place heavy and fragile objects on lower shelves .
	3. Monitor and maintain gas, water, and electrical installations in good condition.
	4. Prepare a post-earthquake evacuation plan.
	5. Conduct drills to provide ongoing training on what to do in the event of an earthquake. earthquake to practice:
	<ul style="list-style-type: none"> <li>• Drop, cover, and hold on</li> <li>• Identify safe places</li> <li>• Maintain the effectiveness of the various operational teams.</li> </ul>
DURING	6. Know the location of hospitals and the safest route to get there.
	7. Keep a list of emergency phone numbers handy, including cell phone numbers.
	1. Stay calm and spread that calmness to others The first and most important recommendation for thinking clearly about how <b>to stay safe</b> .
	2. Stay away from windows and glass doors, bookcases, and any other heavy objects that could fall.
	3. Perform the "Drop, Cover, and Hold On" drill. During an earthquake: Get into a crouching or fetal position, covering your head and neck with your arms. If there is a sturdy table or desk nearby, get under it for added protection from falling objects. protection from falling objects.
	4. Do not use elevators.
5. If you are a person with a motor disability in a wheelchair, find a safe place and apply the brakes to the wheels. If you are seated and cannot get down to the floor, lean forward, cover your head with your arms, and hold your neck with both hands.	
6. If you are outside the building, stay there. Stay away from power lines, gas or water lines, lampposts, trees, buildings, and walls. If possible, go to an open, risk-free place.	

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**AFTER**

1. Evacuate the area (only if necessary) via the nearest exits or stairways, heading towards the pre-established meeting point.
  2. Check that colleagues have arrived at the appropriate meeting point.
  3. Brigades should attend to the injured and extinguish any fires.
  4. If trapped, protect your mouth, nose, and eyes from dust. Send a text message, Tap on a pipe or wall, or use a whistle instead of shouting to help rescuers locate you.
  5. If you are in an area that may experience tsunamis, head to higher ground immediately after the shaking stops.  
higher ground immediately after the shaking stops.
  6. Do not return to the building until you are sure that the structure has not suffered significant damage. Remember that after a strong earthquake, aftershocks will follow, so you should follow these same instructions.
  7. Stay tuned to bulletins issued by the COE.
  8. Instill absolute confidence and calm in everyone around you.
  9. Do not use the telephone except in serious and urgent cases.
- Declaration of the End of the Emergency:** When the emergency is under control and it is considered safe to return to the facilities, the Emergency Coordinator informs all personnel at the final meeting point. Each brigade leader writes a detailed report of the activities carried out in their area and sends it to the Institutional Emergency Committee.

## HURRICANE

**BEFORE**

1. Stay tuned to , , , , , , , , and the instructions issued by ONAMET and the National Emergency Operations Center (COE).
2. Activate the Emergency Committee when the COE issues a tropical cyclone, storm, or hurricane watch, and inform the university community to remain on alert and, when deemed necessary, to stay in their homes for greater safety.
3. Conduct a cleanup day in the outdoor area and offices. Inspect roofs, cornices, and drains to ensure there is no accumulation of debris and trash. Store outdoor objects that could fly away in strong winds or that can accumulate water. Prune trees that could cause damage.
4. Ensure a safe space to protect:
  - Teaching materials, available resources,
  - electronic equipment in areas away from windows, placed on desks or other furniture and covered with waterproof material,
  - digital documents with copies or in a secure digital space protected with a password.
5. Store supplies including medications and cleaning materials for possible use after the event.
6. Have emergency phone numbers handy that would be needed in the event of a disaster. Keep your cell phone charged when the event is approaching.
7. When the hurricane or storm is imminent, and after all advisable safety measures have been taken, proceed as follows:
  - Turn off the power switches.
  - Close all gas pipes.
  - Ensure that all doors and windows are securely closed.
8. Organize communication and information sessions throughout the educational community about the cyclone season and its main characteristics. "Focus on what to do before, during, and after a cyclone or tropical storm."

**DURING**

1. Pay attention to bulletins issued by ONAMET and the National COE.
2. Ensure the safety of the university community by following the instructions of the competent authorities.

<b>AFTER</b>	<p><b>1.</b> Hold a meeting of the Emergency Committee for a preliminary assessment of the damage, if any, and of the prevailing conditions at the university.</p>
	<p><b>2.</b> Submit a more detailed and formal assessment report, considering:</p> <ul style="list-style-type: none"> <li>• Loss of human life.</li> <li>• Damage to human life (injuries).</li> <li>• Damage to property, equipment</li> <li>• Damage to vital lines.</li> </ul>
	<p><b>3.</b> If the assessment determines that safety conditions exist, proceed with the utmost caution to clean up the buildings and their surroundings within the university campus with the aim of resuming operations as quickly as possible.</p>
	<p><b>4.</b> If the university area or infrastructure has not been damaged, resume administrative work.</p> <p>and teaching and teaching activities, and communicate the university community about:</p> <ul style="list-style-type: none"> <li>• Diseases that can be contracted after the effects of this event, such as dengue fever, malaria, cholera, and leptospirosis.</li> <li>• the proper use of water and how to make it safe for consumption</li> <li>• hygiene care, especially hand washing before eating any food and after using the restroom</li> </ul>

<b>FIRE</b>	
<b>BEFORE</b>	<p><b>1.</b> Learn the signs, alarm sounds, and evacuation routes by actively participating in drills and training.</p>
	<p><b>2.</b> Learn about the use, application, and location of fire extinguishers.</p>
	<p><b>3.</b> Ensure that repairs or installations of electrical appliances are carried out by authorized and qualified personnel.</p>
	<p><b>4.</b> Avoid overloading outlets with multiple electronic devices.</p>

<b>DURING</b>	<b>1.</b> The person who discovers the onset of an emergency shall raise the alarm alert.
	<b>2.</b> If you are notified or detect the start of a fire, use the fire extinguishers and equipment located in designated areas, alert others or request assistance if you do not know how to use them.
	<b>3.</b> Open windows and doors completely to increase ventilation, remembering that there are three elements that normally precede fire: smoke, heat, and gases.
	<b>4.</b> Members of the Emergency Support Committee must go to the scene of the incident and assess the situation, its consequences, its magnitude, and its possible evolution.
	<b>5.</b> If the fire cannot be controlled in its early stages, the General Emergency Coordinator will activate the panic button and order the implementation of the Evacuation Protocol.
	<b>6.</b> The General Emergency Coordinator or the person next in line of command will call the emergency committee and report on the emergency.
	<b>7.</b> The Coordinators will mobilize alongside their brigades and carry out their duties.
	<b>8.</b> Cut off the power supply.
	<b>9.</b> Evacuate the premises if the fire exceeds extinguishing capabilities, assist disabled and elderly people to do so, this should be done by moving as close to the floor as possible, below the smoke layer, in search of oxygen, to the nearest evacuation route.
	<b>10.</b> Do not use elevators.
	<b>11.</b> When the fire department arrives, if the situation warrants it, provide all the necessary information to avoid further risks.
<b>AFTER</b>	<b>1.</b> Verify that everyone in your work area or class is located at the meeting point.
	<b>2.</b> Check for injuries.
	<b>3.</b> Remain calm and wait for instructions; do not leave the meeting point until you receive instructions from the emergency manager.


**COVID-19**

**BEFORE**

1. When epidemiological conditions allow, plan the spatial, sanitary, hygiene, and safety conditions to be guaranteed before university.
2. Allow for a period of time in advance for authorities, teaching staff, and administrative personnel to prepare and organize the return to in-person activities at the university, implementing all protocols issued for the proper use of the facilities.
3. Plan the use of signage for the movement of people (students, administrative staff, and teachers) at entrances and exits, in the interior corridors of the university campus, and limit access areas to maintain minimum distance.
4. Develop maps of circulation for the zoning planned in the social distancing in different areas.
5. Plan the basic and essential sanitary refurbishment for the reopening of the university institution.
6. Refurbish office spaces, classrooms, dining halls, cafeterias, and common areas to ensure natural ventilation and minimum distancing between people.
7. Provide a workspace with physical barriers between the public and university staff in areas open to the public.
8. The public waiting area must be properly marked in the lines and in the placement of seats to comply with social distancing.
9. Provide protective equipment, cleaning supplies, and hygiene products in cooperation with the security and maintenance departments.
10. Define a preventive isolation space for people with COVID-19 symptoms. Consider the collaboration of health and social development personnel within the university campus to achieve basic conditioning for dealing with suspected or confirmed cases.
11. Plan an educational campaign as a preventive measure with training and exercises for the educational community, focusing on preventing physical contact and adapting to these new conditions.

DURING

1. Entry to the university campus.  
People with symptoms of COVID-19 should not attend the university.
  3. Establish that for entry, exit, and internal circulation in the hallways and internal spaces of the university, all persons must follow the marked routes, placed to ensure organized circulation and minimum distancing, avoiding crowds.
  4. The use of a face mask or covering is mandatory for entry and stay on the university premises.
  5. Implement temperature checks for all persons entering the premises, with the stipulation that if any person registers a higher than normal temperature (according to protocol), they may not enter, and if a high temperature is verified in any person, the corresponding local health protocol will be applied; persons who are given a health questionnaire and whose answers indicate any risk of COVID-19 infection may also not enter.
- All these cases will be governed by the protocol established by the health authorities.**
1. Provide sanitizing products so that those entering the university can practice proper hand hygiene.
  2. **Within the university campus:**
    - a. Comply with the continuous use of masks or face coverings, frequent hand washing, and maintain social distancing, avoiding direct contact in all areas, according to protocol.
    - b. Maintain the recommended social distance between the public and University staff in areas open to the public by maintaining a workspace with barrier.
    - c. Clean and disinfect all areas, furniture, door locks, keyboards, and light switches.
    - d. Maintenance of the air conditioning system and replacement of filters when necessary.
    - e. Continuously implement and monitor optimal conditions for safety, cleanliness, and hygiene throughout the university campus.
    - f. Maintain all the sanitary services equipped adequately with the necessary hygiene items.
    - g. It is recommended that alcohol dispensers be provided in hallways and common areas common areas.
    - h. Avoid overcrowding in elevators.
    - i. Maintain social distancing, cleaning, and hygiene conditions for dining rooms and cafeterias.  
hygiene conditions in dining rooms and cafeterias.
    - j. Maintain the safety measures established in the protocol for the spatial conditioning and ventilation of work areas in offices, classrooms, and of circulation of students, teachers, and administrative staff, respecting social distancing.


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### 6.5. Social Distancing Planning for COVID-19:

1. Establish the maximum number of people who can remain in each space on campus.
2. Establish the maximum number of people who can attend classrooms, based on their respective total areas. People may remain in these spaces in compliance with the established physical distancing and the use of masks or face coverings.
3. Only allow authorized students to enter classrooms.
4. Organize some spaces using furniture as a unit of measurement to limit distancing.
5. Establish new work schedules and academic programming schedules, establishing the necessary flexibility to comply with social distancing requirements and avoid crowds.
6. Schedule a period of time between established working hours and schedules to allow maintenance staff to clean and disinfect offices and classrooms.

### 6.6. Planning Training Institution and Community


1. Organize training sessions to clarify any doubts and questions about reopening classes during the pandemic and provide information on the protocols established to ensure the safety and protection of the entire educational community.
2. Continue with virtual, non-face-to-face teaching activities, as this is an existing educational structure at the institution and an option for those who cannot attend the university.
3. Increase the use of simulated laboratories and reduce external practices.
4. Maximize the management of documents and administrative processes, using available technological tools, in order to reduce physical contact.

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5. Reduce administrative, academic, and student group/face-to-face activities and meetings. Use videoconferencing systems, conference calls, among others.
6. Develop COVID-19 information campaigns for the university community, specifying symptoms to monitor and recommendations for social distancing, mask use, and hand hygiene. Include web pages, social media, email, and other appropriate media in the campaign, placing them at the entrances to the university campus and in common areas of the institution.

### 6.7. Case management

1. Establish assistance from administrative or teaching staff who, if they observe people with symptoms or suspect possible infection, must immediately report it and recommend the application of health protocols.
2. Consider, in the preventive isolation space, the collaboration of health and social development personnel within the university campus to achieve the basic conditions for dealing with suspected cases or confirmed diagnoses of COVID-19.
3. If a suspected case is detected within a group of students, the group must refrain from attending classes until the COVID-19 infection is confirmed or ruled out.
4. If COVID-19 infection is confirmed, the student's close contact group is required to isolate for 14 days from the last exposure to the confirmed case. As soon as it is ruled out, the group of students can return to face-to-face classes.
5. If a confirmed or suspected case is detected, activities will be suspended for the estimated time according to the institution's protocols in order to thoroughly disinfect the corresponding areas.


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6. The procedure to be followed for suspected and confirmed cases, establishing direct contacts, and performing PCR tests will be in accordance with the corresponding local health protocol. All these cases will be governed by the protocol established by the health authorities.
7. Ensure respect for the privacy and confidentiality of medical information in light of the epidemiological situation of the COVID-19 pandemic, which may prevent administrators, faculty, and students from attending the University.
8. Detail how to proceed and the communication mechanisms while maintaining privacy in cases of confirmation of a case or confirmed contact of any person who has been at the University.
9. The University will provide students and staff with official information on the prevention and treatment of COVID-19 available through international and local organizations:
  - a. World Health Organization - <https://www.who.int/es>
  - b. Pan American Health Organization - <https://www.paho.org/es>
  - c. Ministry of Public Health and Social Assistance - <https://www.msp.gob.do/web/>

## 7. PROTOCOLS FOR INFORMATION DISCLOSURE, DECISION-MAKING, AND COMMUNITY EDUCATION

### 7.1. Institutional Crisis Room

The Crisis Room is the physical and/or virtual space where, based on the receipt of timely and relevant data and information, a group of experts systematically analyzes it as a useful tool to guide decision-making and prioritize interventions in the face of an emergency or disaster. It should be noted that adequate decision-making in the management of emergencies and/or disasters necessarily requires generating knowledge about the reality in which the intervention takes place.

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The Crisis Room ensures rapid and timely decision-making in emergency situations, but also in times of peace. Similarly, it facilitates the monitoring and surveillance of variables and risk factors to which the university population is exposed, enabling intervention with actions that mitigate the likely impact of these events.

The data and information provided to the crisis room through various channels are the source or baseline for situation reports, for analyzing and producing a response to any emergency.

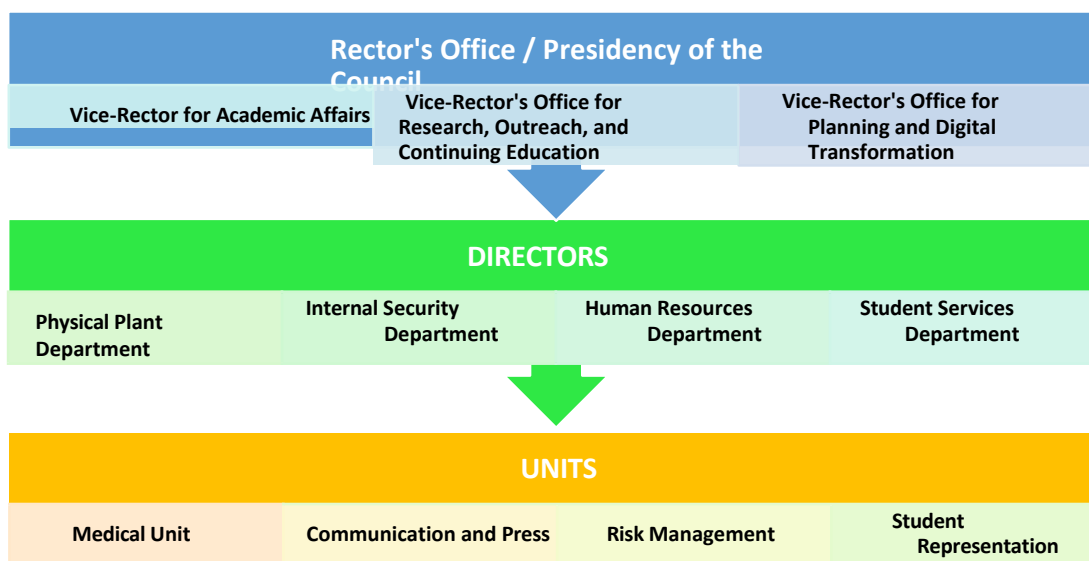
The installation of the Crisis Room facilitates the preparation of a realistic diagnosis, which gathers information on what the situation was like before the event and the actions that should be taken.

**OBJECTIVES:**

- To promote the institutional development of a culture of recording, analyzing, and efficiently using information received through different means, as a basis for making timely and intelligent decisions in a crisis situation affecting the university and its community, as well as implementing strategies that address priorities and reduce damage to affected populations.
- Contribute to increasing the response capacity of the University of the Caribbean by making timely, relevant, and effective decisions to address different emergency and/or disaster situations that may arise.


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## 7.2. Structure of the Situation Room



## 7.3. Crisis Room Action Protocols

CRISIS ROOM ACTION PROTOCOLS	
<b>BEFORE</b>	1. Collaborate in the preparation, organization, and regulation of the Plan: (Municipal Prevention, Mitigation, and Response) and with entities from the Public and private sector entities.
	1. Formation of Operational Brigades and selection of personnel according to the indicated profile.
	2. The plan must be tested or validated through regular annual drills, and the exercise must first be carried out in a scheduled manner with prior notice; then without notice, and subsequently with simulated victims.
	3. Keep records of the evaluation of the actions and times taken in the Plan in order to make adjustments for improvement.
	4. Hold meetings and carry out periodic evaluations to keep the Plan up to date the Plan with the different risk variables.
	5. Evaluate emergency response processes to provide feedback for planning actions.
	6. Keep records of all meetings held by the Emergency Committee.
7. Decide on the information to be provided by the press coordination team to the public media in the event of emergencies.	


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<b>DURING</b>	1. Develop procedures, programs, and activities for the Emergency and/or Disaster Response Plan for training and emergency situations.
	2. Assess the conditions, origin, and magnitude of the emergency.
	3. Implement the Contingency Plan, according to the emergency that has arisen.
	emergency.
	5. Establish contact with Internal and External Support Groups (Red Cross, Civil Defense, Fire Department).
	6. Coordinate operational actions in emergency response.
	7. Coordinate the transfer of the injured to medical assistance centers.
	8. Collect and process all information related to the emergency.
	9. Be responsible for the timely implementation of the Plan, its development, and effectiveness during the emergency.
	10. During the state of emergency, the teams, resources, and all personnel shall be at the disposal of the CEI.
<b>AFTER</b>	1. Determine the level of alert that should remain in place while returning to normalcy.
	2. Evaluate the different activities carried out after an emergency or a drill.
	3. Prepare and present the report on the event that occurred.
	4. Coordinate the resumption of work.
	5. Provide feedback on each element of the Emergency Plan.

## 8. PARTICIPATION OF SOCIAL ACTORS

### 8.1. Context

UNICARIBE is located on the 30 de Mayo Highway, km 7½, in the Tropical Metaldom neighborhood of the National District, which belongs to Constituency No. 1 of the Western Caribbean Basin. It is considered one of the least populated neighborhoods, with 2,502 inhabitants, compared to 310,460 inhabitants in the total population of this district, which represents 32.7% of the total population of the National District and 0.28% of the concentration of housing per neighborhood unit, one of the lowest in the National District. (Territorial Diagnosis D.N., 2017).

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The Tropical Metaldom neighborhood, within district 1, achieved an educational system efficiency rate of 98% in terms of promotion, repetition, and dropout rates among its students in the 2012-2013 school year. The neighborhood has a recreational and sports club, where meetings, activities, dances, and different sports are held.


Solid waste collection in the Tropical Metaldom neighborhood occurs three times per week (Tuesdays, Thursdays, and Saturdays). The National Interconnected Electric System (OC-SENI) determines the transmission and distribution of electricity in the neighborhood at a power of 44.00 MW. It is classified as one of the non-polluting manufacturing industrial sectors and lowest storage warehouses in the National District, with domestic workshops and artisanal production observed.

## **8.2. Social actors or stakeholders**

Social actors or stakeholders are the people or entities in the environment who are significantly involved in promoting open, transparent, and inclusive engagement between the university and stakeholders, especially affected communities, as a key element in improving the environmental and social sustainability of investments.

These social actors must be formed through a process of respectful dialogue in good faith between the university and its impact on stakeholders or affected parties. This process must be continuous and iterative, ensuring that these stakeholders are represented and participate, and it must be equitable and non-discriminatory.

The stakeholders are represented by the Neighborhood Council of the Tropical Urbanization and the residents, who are responsible for ensuring harmony, cleanliness, and maintenance of the common, social, and sports areas, in conjunction with the University of the Caribbean.

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Stakeholders must have prior information about relevant issues or changes generated by the university that directly impact the environment, through documentation and public disclosure.

Neighborhoods or housing developments in the National District have Neighborhood Councils that are formed by the City Councils.

The National District City Council legislates Neighborhood Associations<sup>1</sup> and defines them as:

*"Neighborhood Councils can be defined as neighborhood or sectoral organizations within a specific territorial demarcation or perimeter, responsible for contributing to improving the living conditions of the community, the smooth running of services, and the preservation of coexistence in the neighborhood, in coordination with other public and private institutions that are in a position to achieve their common objectives, without regard to ideology, creed, economic status, or civil or military status. In the remainder of these Regulations, these bodies may be referred to as 'the boards.'"*

Neighborhood Associations are the representatives of a community. In the case of the Barrio Tropical Metaldom neighborhood, the neighborhood association "Unión de Junta de Vecinos de la Urbanización Tropical" is defined as a group of neighbors who defend the duties and rights of their fellow citizens and represent them.


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Union of Neighborhood Associations of the Tropical Urbanization: <https://www.facebook.com/VecinosTropical>

The Universidad del Caribe, in the event of any project or activity that impacts the urbanization, includes the following:

1. Identify the most relevant social actors, such as local authorities, neighbors, and nearby communities (within a 500-meter radius of each facility).
2. Differentiated measures that enable the effective participation of the most vulnerable groups.
3. Communication and dissemination mechanisms where community representatives represent the opinions of affected communities.
4. Implement remedies, when necessary.

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## 9. EVALUATION AND CONTINUOUS IMPROVEMENT: PROTOCOLS

### 9.1. Context


The Universidad del Caribe provides continuous evaluation of all administrative and academic management processes at the institution through the Institutional Quality Assurance Department and the Planning Department, both of which report to the Vice-Rector's Office for Digital Transformation.

#### OBJECTIVE

To design guidelines that enable the Quality Assurance Department to support the institution in its process of continuous improvement, prioritizing self-evaluation or internal evaluation activities, as well as accreditation and external evaluation, with the support of the vice-rectors, departments, and institutional units, through internal or external control processes that guarantee relevance, suitability, effectiveness, efficiency, equity, and inclusion, contributing to the development of individuals and society.

The DACI, together with the institution's Planning Directorate, develops indicators for monitoring and evaluating UNICARIBE's projects and activities, in accordance with the strategic axes and lines of the quality assurance policies that guide the actions of the management, evaluation, and monitoring processes and procedures that strengthen the Internal Quality Management System (SIGC) of the HEI, and covers the following:

- Internal institutional quality management
- Evaluation and accountability
- Control and monitoring of continuous improvement
- Risk reduction
- Customer satisfaction


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UNICARIBE uses a compliance matrix as a control mechanism for the evaluation and continuous improvement of the project. This matrix incorporates the achievement of indicators, responsible parties, compliance times, and commitments, with the intention of generating actions and advice that allow for the identification of needs and priorities in order to propose continuous improvement plans that ensure institutional and project quality.

## 9.2. Protocols for the evaluation and continuous improvement of UNICARIBE's Environmental and Social System

AXES	EVALUATION AND CONTINUOUS IMPROVEMENT PROTOCOL
<b>A</b>	<b>Internal management of institutional quality</b>
1	Coordination of organizational structures and responsibility for monitoring the different processes of the system.
2	Execution of the compliance matrix as a tool for monitoring and tracking the different actions carried out in the implementation of the system.
3	Promoting and disseminating to the academic and administrative community of UNICARIBE the projects and activities that directly impact the environment, such as: construction projects, keynote speeches, graduations, mass activities of entities, whether governmental, academic, sports, cultural, or social.
4	Prepare an introductory training program and ongoing refresher courses for all personnel responsible for planning, executing, and monitoring the preservation of the environmental and social system.
<b>B</b>	<b>Evaluation and accountability</b>
1	Evaluation of compliance with key performance indicators in the preservation of the environmental and social system, using the following rating criteria: relevance, effectiveness, efficiency, and sustainability, evaluated by all parties involved, either positively (Excellent, Satisfactory) or negatively (Partially Satisfactory, Unsatisfactory).
2	Develop exceptional service satisfaction surveys at different stages of the system, as well as mechanisms for handling complaints and suggestions, both internal and external.

3	Serve as a mechanism for the timely resolution of problems to prevent them from generating social conflict among stakeholders, whether individuals or groups.
4	Prepare an annual report, through internal or external audits, on the status of compliance with SASU's environmental and social policies and measures.
5	Communication of the evaluation results to the academic and administrative community of UNICARIBE, as well as to the key stakeholders involved
<b>C</b>	<b>Control and monitoring of continuous improvement</b>
1	Ensure the continuous improvement of academic, administrative, and service processes in accordance with the results obtained in the internal or external audit.
2	Continuous monitoring of the progress of SASU actions with respect to the defined rating category criteria.
<b>D</b>	<b>Risk Reduction</b>
1	Assess potential environmental, social, and occupational health and safety risks for reduction and mitigation, whether related to the physical, technological, and administrative infrastructure of managers and those responsible, as well as stakeholders such as workers and surrounding communities.
2	Follow up and monitor corrective and preventive actions for risk management in the event of potential events and their consequences.
3	Ensure compliance with the UNICARIBE Emergency and/or Disaster Response Plan
<b>E</b>	<b>Customer service satisfaction</b>
1	Ensure customer service satisfaction through service measurement resources, complaints, and incidents for the entire academic, administrative, service, and community.
2	Implement improvement processes based on the results obtained from exceptional service surveys.
3	Establish mechanisms for complaint and timely timely for the communities, workers, and individuals affected by the different phases of the project during its implementation and execution.


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Effective communication to managers, workers, and affected communities about the mechanisms and measures taken to resolve problems and satisfy the

## 10. CHANGE HISTORY

NO. VERSION	DATE DD/MM/YY	CHANGES MADE	NO. OF REQUEST	RESPONSIBLE
01	02/01/2021	Document Creation	N/A	Director of Institutional Quality Assurance Quality Assurance
02	7/10/2022	Environmental and Social Management System and Social Management System	1	Director of Institutional Quality Assurance Institutional Quality

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## 11. APPENDICES: DEFINITIONS AND ABBREVIATIONS

### DEFINITIONS

**Environmental and Social Management System (ESMS):** the policies, procedures, tools, and internal capabilities to minimize and manage environmental, social, and occupational health and safety risks and impacts, which contribute to reducing waste, improving profitability, and generating goodwill and benefits in communities.

**Environmental Sustainability and Risk Management:** All plans, programs, projects, and public policies must incorporate criteria for environmental sustainability and adequate comprehensive risk management (National Development Strategy Law 2030, Article 13, 2012).


**UNIEMPLEO** is the employment agency that serves the needs of the institution's students and graduates by supporting their entry into the labor market. The purpose of this agency is to link the business sector with the university in matters related to employability.

**CENTER for Micro, Small, and Medium-sized Enterprises (MSMEs)** is an entity that seeks to support micro, small, and medium-sized enterprises located in the university's surroundings to improve their production and business management, as well as to promote growth and sustainability.

**Risk Reduction:** This component refers to the establishment of a functional mechanism within the institution for the identification, reduction, and prevention of risks at the institutional and personal levels throughout the university community.

### Types of Risks and Environmental Impacts:


1. **Development:** Level of achievement of project objectives and results, and their impact on the achievement of countries' development results, as articulated in country strategies.
2. **Public Management and Governance:** Management capacity of the public administration, impact of political decisions on project objectives and their environment, and level of commitment to the project.
3. **Macroeconomic and Fiscal Sustainability:** Impact on the country's development objectives and on public financial management standards due to variations in the macroeconomic context and external economic conditions. Effects on the availability of counterpart resources.

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4. **Environmental and Social Sustainability:** Effectiveness of projects compromised by the social impacts they generate. Short- or long-term social unviability.
5. **Reputation:** Impact on the image of the Bank, the Government, or the Executing Agency due to inadequate project management.
6. **Monitoring and accountability:** Effectiveness of project oversight and accountability structures, public administration, and environmental and social management.
7. **Trustees (Financial Management/Procurement): Effectiveness** in relation to results related to achieving established objectives. **Efficiency** focuses on value for money in the operation. Transparency in the administration of project funds to ensure best value for money for the established objectives.

## ABBREVIATIONS

<b>ASR</b>	Annual Supervision Report
<b>ASS</b>	Environment, health, and safety
<b>DACI</b>	Institutional Quality Assurance Directorate
<b>DELTA</b>	System for learning, monitoring, and evaluating effectiveness in development
<b>EIAS</b>	Environmental and social impact assessment
<b>EIA</b>	Environmental impact assessment
<b>GIRD</b>	Integrated Disaster Risk Management
<b>IES</b>	Higher Education Institutions
<b>IF</b>	Financial Intermediary
<b>MASS</b>	Environment, Health, and Safety
<b>MICI</b>	Independent Consultation and Investigation Mechanism
<b>OVE</b>	IDB Evaluation and Oversight Office
<b>PAAS</b>	Environmental and Social Action Plan
<b>DRR</b>	Disaster Risk Reduction
<b>SGAS</b>	Environmental and Social Management System

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**SASU** Environmental and Social System UNICARIBE

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**TSS** Occupational Health and Safety Policy

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**UGR** Risk Management Unit

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**XSR** Extended supervision report

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