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Environmental and Social Management Framework: Yemen Emergency Crisis Response Project (ECRP)

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Acronyms

EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EPA	Yemen Public Environmental Protection Agency
EPL	Yemen Environmental Protection Law
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
GDP	Gross Domestic Product
GIIP	Good International Industry Practice
GRM	Grievance Redress Mechanism
IDP	Internally Displaced Person
ILO	International Labour Organization
IPM/IVP	Integrated Pest Management / Integrated Vector Management
MFI	Multilateral Finance Institution
MIS	Management Information System
NBSAP	National Biodiversity Strategy and Action Plan
NEAP	Yemen National Environmental Action Plan
NGO	Non-Governmental Organization
OHS	Occupational, Health and Safety
OP	World Bank Operational Policy
PAD	World Bank's Project Appraisal Document
PWP	Public Works Project
RoY	Republic of Yemen
SRM	UNDP's Stakeholder Response Mechanism
SECU	UNDP's Social and Environmental Compliance Unit
SES	UNDP's Social and Environmental Standards
SESP	UNDP's Social and Environmental Screening Procedure
SFD	Social Fund for Development
SME	Small-to-Medium Enterprise
SMED	Small-to-Medium Enterprise Development
SWF	Yemen Social Welfare Fund
TPMA	Third-Party Monitoring Agent
UN	United Nations
UNDP	United Nations Development Programme
WHO	World Health Organization
YECRP/ECRP	Yemen Emergency Response Project
YSMQCO	Yemen Standard Metrology Quality Control Organization

Executive Summary

This Environmental and Social Management Framework (ESMF) is prepared by UNDP to ensure the Yemen Emergency Crisis Response Project (ECRP) is consistent with UNDP's Social and Environmental Standards (SES) (www.undp.org/ses) and the World Bank's Environmental and Social Safeguards Policies. The SES require that all UNDP projects consider the potential environmental and social opportunities that a project may generate and ensure that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed.

The ESMF is intended to serve as a practical tool to guide identification and mitigation of potential environmental and social impacts of proposed investments and as a platform for consultations with stakeholders and potential project beneficiaries. The ESMF identifies the policy triggers for the project, the screening criteria of sub-projects, the likely environmental and social impacts of the sub-projects and the mitigation measures to mitigate the identified risks, assessment of the institutional capacity and measures for capacity-filling gaps.

Although the ECRP is currently in the implementation phase, the ESMF provides a strengthened framework and clarity to ensure consistency with the UNDP SES and World Bank Environmental and Social Safeguards Policies across all sub-projects. The ESMF provides the following:

Description of the project (Section 2): UNDP, in partnership with the World Bank, developed the Yemen Emergency Crisis Response Project (ECRP) to step up current efforts of the international community to deliver critically needed livelihood support and service delivery to a population hit hard by the conflict. The project consists of close to 2,000 sub-projects. Two local institutions are the Responsible Parties: The Social Fund for Development (SFD) and the Public Works Project (PWP). SFD is responsible for implementation of labour intensive cash-for-work/social service interventions (approx. 680) in all governorates of Yemen and small community infrastructure and initiatives (approx. 90); and PWP is responsible for the implementation of small community infrastructure through local contractors (approx. 1,200). The project aims to mitigate the impact of the current crisis on local households and communities and assist their recovery from the bottom-up using local systems, capacities and institutions to progressively resume and scale-up service delivery. The project will achieve specific results in: 1) Increasing short-term employment and livelihoods opportunities; 2) Reviving the local private sector; 3) Restoring key service delivery through small-scale infrastructure.

Overview of the legal and regulatory framework (Section 3): Key national laws and regulations applicable to social and environmental risk management include the National Environmental Action Plan, National Biodiversity Strategy and Action Plan, Water Law, Environmental Protection Law, and Labour Law. In the context of the ECRP, [UNDP's SES](#) and the [World Bank's Environmental and Social Safeguards Policies](#) apply. In addition, the Responsible Parties ([Public Works Project](#) and [Social Fund for Development](#)) have elaborated their own standard operating procedures, that were set up for the World Bank supported projects with the two institutions prior to the conflict, Environmental and Social Management Frameworks in 2014 and OHS Framework in 2018. Implementation of these procedures also help to ensure consistency with relevant international agreements and protocols.

Overview of project activities and key social and environmental risks (Section 4): This section summarizes key social and environmental risks and indicative management measures for the project. The section describes the UNDP social and environmental Principles and Standards that have been triggered based on completion of the project-level Social and Environmental Screening Procedure (SESP, see Annex 1). While the project was initially categorized as Low Risk, the project was recategorized as **Moderate Risk** following

the 2018 SESP update. As per the World Bank safeguards policy OP 4.01 on 'Environmental Assessment' this project is categorized as '**Category B**'. Key risks include those related to human rights and conflict, gender and social inclusion, biodiversity and natural resources, climate change, community health, safety and working conditions (including occupational health and safety), cultural heritage, and pollution. Occupational health and safety risks are identified as a priority. Because a full risk analysis is not possible until site-specific design details are known, the identification of project level risks provides an indicative assessment to be elaborated further through sub-project level screening, assessment and risk management (see Section 5). Therefore, sub-project screening and site-specific assessments and management plans will be essential.

Procedures for screening (Section 5): Each sub-project will be screened for social and environmental risks and impacts (including OHS risks) applying PWP and SFD screening tools. Screening and classification will be completed prior to approval of sub-projects and signing of the Financial Agreement. The screening of sub-projects will also be updated if there are any significant changes in the sub-project's design or context that may materially change its social and environmental risk profile. Sub-project screening and categorization should be conducted at the earliest stage of design when sufficient information is available for this purpose. Based on the screening, the sub-project is categorized according to the degree of potential social and environmental risks and impacts (including OHS). The screening process results in a risk-based categorization of the sub-project (Low Risk, Moderate Risk, or High Risk). Note that High Risk sub-projects will be excluded from Yemen ECRP funding. If high level risks are identified during implementation, Senior management of the Responsible Party and UNDP Project Manager will be notified immediately and relevant activities will be halted until management measures put in place to reduce the levels of risk. An initial gap analysis shows that PWP and SFD screening processes are generally aligned with SES requirements, as described below. However, a more detailed gap analysis will be conducted and UNDP together with the World Bank will work with PWP and SFD to update their screening processes as needed to address gaps and also respond to lessons learned.

Procedures for assessment and management (Section 5): The targeted and site-specific assessments and management plans will be undertaken for all Moderate Risk (Category B) sub-projects once project activities/sub-projects and sites are identified. The assessment(s) will lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts. Relevant social and environmental assessments and adoption of appropriate mitigation and management measures will be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts. Where possible, template simplified ESMPs will be developed for types of projects and risks for adaptation at the sub-project level. All site-specific assessments and management plans will be **submitted to UNDP and the World Bank for clearance** and recorded in the MIS. In cases where similar activities are being conducted in a particular region, these activities may be grouped and covered under one site-specific ESMP. All ESMPs will be available upon request.

Institutional arrangements and capacity building (Section 6): The World Bank provides financing for the project and as such has an oversight role. The World Bank has established a senior management task team to oversee and make decisions about remedies in connection with the UNDP-implemented activities. The Project Board (UNDP, World Bank, PWP, SFD) has oversight and advisory authority, representing the highest body for coordination, strategic guidance, oversight and quality assurance. UNDP will be responsible for overseeing the implementation and compliance with the ESMF, working closely with PWP and SFD. UNDP will be responsible for the revision or updates of this document during the course of project, in consultation with PWP, SFD and the World Bank. During operations the Responsible Parties (SFD and PWP) will be accountable for implementation of the ESMF. The Responsible Parties are directly accountable to UNDP in accordance with their Letter of Agreement. Responsible Parties include headquarters offices, branch offices,

site engineers, site supervisors, and workers that also play a role in implementation of the ESMF. A capacity development plan to ensure ongoing capacity development related to ESMF implementation will be developed and led by UNDP, working closely with PWP, SFD and the World Bank.

Stakeholder engagement and information disclosure (Section 7): The ECRP and its Responsible Parties will ensure meaningful, effective and informed stakeholder engagement in the design and implementation of all sub-projects. Stakeholder engagement supports the development of strong, constructive, and responsive relationships that are critical for sound project design and implementation. Effective stakeholder engagement enhances project acceptance and ownership and strengthens the social and environmental sustainability and benefits of supported interventions. Information disclosure refers to the provision of timely, accessible information regarding the project and its potential social and environmental impacts to stakeholders in order to facilitate their meaningful, effective and informed participation in project design and implementation. Stakeholders require access to relevant project and sub-project information to understand potential project-related opportunities and risks and to engage in design and implementation. In addition to have access to general project information, stakeholders need access to screening reports, draft and final assessments and management plans. This information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. Meaningful stakeholder engagement is required by PWP and SFD for participation in project intervention by communities and individuals. The Standard Operating Procedures of both Responsible Parties include procedures for community and stakeholder engagement within their project cycles as a key component of project identification, design and implementation, and described a key component of the longer-term sustainability strategy for operations and maintenance. Stakeholder consultations on the draft ESMF noted that further stakeholder engagement and information about projects is needed; therefore, the Responsible Parties Operating Procedures will be reviewed and updated to further strengthen these aspects.

Grievance Mechanism (Section 8): The Project Level Grievance Mechanism is managed by SFD and PWP, who have their own GRM mechanisms in place. The GRM will be gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM will not impede access to judicial or administrative remedies as may be relevant or applicable and will be readily accessible to all stakeholders at no cost and without retribution. Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders. All complaints and/or grievances regarding social and environmental issues can be received either orally (to the field staff), by phone, in complaints box or in writing to the UNDP, PWP or SFD. A key part of the grievance redress mechanism is the requirement for the Project Management Team and construction contractor to maintain a register of complaints and/or grievances received at the respective project site offices, this includes grievances from workers. In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle (www.undp.org/secu-srm). Complainants also have access to the World Bank's Inspection Panel (www.inspectionpanel.org). TPM Reports and the ESMF stakeholder consultations noted that there was little awareness by project-affected people of the GRM and their options. This will be an area to be strengthened moving forward.

Monitoring, reporting and evaluation (Section 9): The ESMF and its procedures are to be reviewed and updated on a regular basis by UNDP staff, PWP and SFD to reflect knowledge gained during the course of project delivery/construction. Both PWP and SFD have a Management Information System in place to record project information and monitoring results. The MIS provides an important mechanism to track information on environmental and social safeguard implementation. A review will be conducted to identify opportunities to strengthen environmental and social safeguard elements in the MIS. The Responsible Parties will maintain and keep all administrative and social and environmental records which would include a log of complaints and incidents together with records of any measures taken to mitigate the cause of the complaints or incidents. Any incidents, major injury or fatality, including non-conformance with the procedures of the ESMF, are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or significant social and/or environmental harm, the site supervisor/designated officer shall notify the Responsible Party Senior Management and the ECRP Project Manager as soon as possible and no later than 48 hours. UNDP will also ensure significant incidents are reported to the World Bank within 48 hours. The Responsible Party must cease work until remediation has been completed as per the approval of Project Manager. A daily social and environmental checklist (including OHS issues) is to be completed for active work sites with moderate risks by the relevant site supervisor/designated officer and maintained within a register. A weekly social and environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the site supervisor or designated person. The progress of all corrective actions will be tracked using the register. In the case of potential occupational health and safety hazards, safe working systems and procedures will be developed and applied as well daily permit-to-work forms used to control and minimize risks to acceptable limits. A consultant will be recruited to conduct an annual environmental and social compliance and performance audit by both PWP and SFD. Implementation of the ESMF to be included in overall project monitoring and reporting, including monitoring conducted by the TPMA.

1 Introduction

This Environmental and Social Management Framework (ESMF) is prepared by UNDP to ensure the Yemen Emergency Crisis Response Project (ECRP) is consistent with UNDP's Social and Environmental Standards (SES) (www.undp.org/ses) and the World Bank's Environmental and Social Safeguards Policies. The SES require that all UNDP projects consider the potential environmental and social opportunities that a project may generate and ensure that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed. In the context of the Yemen Emergency Crisis Response Project (ECRP), UNDP's SES and the World Bank's Environmental and Social Safeguards Policies apply. In addition, the Responsible Parties ([Public Works Project](#) and [Social Fund for Development](#)) have elaborated their own standard operating procedures, that were set up for the World Bank supported projects with the two institutions prior to the conflict, ESMFs in 2014, and Occupational Health and Safety Framework in 2018.

The project was originally categorized as Low Risk through UNDP's Social and Environmental Screening Procedure (SESP) so a project level Environmental and Social Management Framework (ESMF) was not initially put in place. However, during implementation, several risks were identified and the SESP was updated accordingly. The update SESP (see Annex 1) resulted in a Moderate Risk categorization for the project. Because the details of proposed activities are designed at the sub-project level, an Environmental and Social Management Framework (ESMF) is necessary to ensure policies and procedures are in place for consistent safeguards implementation across all sub-projects, and as required by the World Bank safeguards policy OP 4.01 on 'Environmental Assessment'.

The ESMF is intended to serve as a practical tool to guide identification and mitigation of potential environmental and social impacts of proposed investments and as a platform for consultations with stakeholders and potential project beneficiaries. The ESMF has been prepared in compliance with World Bank safeguards policy OP 4.01 on 'Environmental Assessment', the UNDP SES and relevant Yemeni policies on environmental assessment. The ESMF identifies the policy triggers for the project, the screening criteria of sub-projects, the environmental and social impacts for the likely sub-projects and the mitigation measures to mitigate the identified risks, and assessment of the institutional capacity and measures for capacity-filling gaps.

Although the ECRP is currently in the implementation phase, the ESMF provides a strengthened framework and clarity to ensure consistency with the UNDP SES and World Bank Environmental and Social Safeguards Policies across all sub-projects. The ESMF was developed through a consultative process led by UNDP in close coordination with the World Bank, PWP and SFD. Stakeholders were consulted through workshops held in Sanaa and Aden and feedback from local communities also obtained through the Third-Party Monitors (see Annexes 11-13 for summaries of these consultations).

The ESMF provides the following:

- Description of the project (Section 2)
- Overview of the legal and regulatory framework (Section 3)
- Overview of project activities and key social and environmental risks (Section 4)
- Procedures for screening, assessment and management (Section 5)
- Institutional arrangements and capacity building (Section 6)
- Stakeholder engagement and information disclosure (Section 7)
- Grievance Mechanism (Section 8)
- Monitoring, reporting and evaluation (Section 9)

2 Project Description

The ongoing conflict in Yemen has resulted in a catastrophic humanitarian emergency with an increasing toll of civilian deaths and casualties across the country with over 80 percent of Yemen's population is estimated to need humanitarian assistance and more than 2.5 million Yemenis have become IDPs. The ongoing conflict has destroyed much of the institutional ability of key ministries, governorates and local authorities to deliver essential social services to citizens. Public service restoration is also essential for a smooth transition to recovery, as a political agreement is being negotiated.

In this context, UNDP, in partnership with the World Bank, developed the Yemen Emergency Crisis Response Project (ECRP) to step up current efforts of the international community to deliver critically needed livelihood support and service delivery to a population hit hard by the conflict. The project consists of close to 2,000 sub-projects. Two local

institutions are the Responsible Parties: The Social Fund for Development (SFD) and the Public Works Project (PWP). SFD is responsible for implementation of labour intensive cash-for-work/social service interventions (approx. 680) in all governorates of Yemen and small community infrastructure and initiatives (approx. 90); and PWP is responsible for the implementation of small community infrastructure through local contractors (approx. 1,200).

The project aims to mitigate the impact of the current crisis on local households and communities and assist their recovery from the bottom-up using local systems, capacities and institutions to progressively resume and scale-up service delivery. The project will achieve specific results in: 1) Increasing short-term employment and livelihoods opportunities; 2) Reviving the local private sector; 3) Restoring key service delivery through small-scale infrastructure. As such, the project contributes to the livelihoods restoration and service delivery restoration components of UNDP's Yemen Resilience Programme. The Project's Theory of Change assumes that if income-generation and livelihoods opportunities are increased for vulnerable households (including IDPs), with essential service delivery restored and key local businesses revived, Yemeni households and communities will be able to better cope with the impact of the current crisis and be strong drivers of the resilience-building and recovery efforts.

The project consists of small, fast-disbursing interventions (sub-projects) that serve as a rapid response, providing households and communities affected by the conflict with income support (as wages) to purchase basic necessities. These short-term interventions are also delivering benefits to the wider community by creating community assets, small infrastructure, and improved access to basic service delivery, as well as restoring livelihoods. The project adopts a community-based approach, which brings communities together around common humanitarian and development initiatives and hence promotes social cohesion and the protection of human capital. The project gives special attention to youth and, as an important peace dividend, provides them with income and participation opportunities, and includes design features that ensure women's access to project opportunities.

The project is fully described in the World Bank's Project Appraisal Document (PAD1797, July 5, 2016) and UNDP Project document (14 August 2016), and subsequent amendments for additional funding.

2.1 Description of Baseline Environmental and Socioeconomic Conditions

The economic impact of the crisis has been devastating for the Republic of Yemen, aggravating an already deteriorating pre-conflict economic performance. In 2015, according to the World Bank, the economy contracted by about 28 percent of gross domestic product (GDP), while inflation has been estimated to have reached about 40 percent. Public finances are under severe stress. The fiscal deficit reached around 11 percent of GDP in 2015. The fiscal resources available in 2015 allowed only for financing basic salaries for public employees and rising interest payments; public investments in critical sectors such as health and education or other development policy programs were postponed. In a context of growing liquidity crisis in the country, President Hadi issued a decree to replace the Central Bank Governor and move the Central Bank Headquarters from Sana'a to Aden. As a result of the liquidity crisis, the payment of salaries to civil servants has been disrupted. At a time where major development partners suspended their engagements since earlier days of the military confrontation in March 2015 and transitioned their support to emergency and relief operations, the suspension of wage payments causes the crumbling of the health services, putting additional pressure on the humanitarian response and resilience of the population.

About 14.4 million Yemenis are currently considered food insecure. The poor state of the health services is leading to a catastrophe in terms of excess mortality due to malnutrition and diseases. At present the Ministry of Health and international partners are also battling a cholera epidemic. Some 3 million children under five years and pregnant or lactating women require services to treat or prevent acute malnutrition; 1.3 million under-five children are malnourished, with 370,000 suffering from severe acute malnutrition, a doubling of pre-crisis levels. Preliminary estimates of the Nutrition Cluster in October 2016 indicates that 4.5 million children and pregnant and lactating women require malnutrition treatment or preventive services. The number of people in need of assistance increased by 148% compared to late 2014. Severe and Acute Malnutrition blunts children intellect and makes them nine times more likely to die compared to their healthy peers. This poses a serious risk to the future of human development in Yemen.

Furthermore, it is estimated that approximately 19.4 million Yemenis lack access to clean drinking water and sanitation, and 14.1 million cannot access adequate health care. Children are facing significant psychological stress; an estimated 1.8 million children are out of school because of fighting and insecurity. 2,007,216 internally displaced persons (IDPs) across 21 governorates; the majority, 50%, are displaced in Hajjah, Taizz, Amanat Al Asimah and Sana'a. The Task Force on Population Movement has identified 1,027,674 returnees in 19 governorates; the majority, 68%, have returned to Aden, Amanat Al Asimah and Taizz.

The number of IDPs have risen to over 2 million, with the majority of displaced people hosted by local communities. According to latest estimates from the Task Force on Population Movement in January 2016, about 1,027,000 IDP returnees who returned to their place of habitual residence across Yemen, representing about a 32% increase compared to April 2016. The prospects for women-headed households, which represent more than 50 percent of the displaced community, are particularly challenging. Households, communities, and public and private institutions need support to cope and build resilience toward peace and recovery.

Yemeni economic advancement depends on its natural resource base; on agriculture and mining. Agriculture forms an important sector in the nation's economy and much of the economic activities depend on exploitation of fresh water resources, marine resources, and its soil and oil wealth. However, the natural resource base is facing serious challenges. The rapidly growing population at the rate of 3% annually accelerates pressure on scarce natural resources. Demand increases on water resources, foodstuff and other products of natural resources. People exploit soil, vegetation and water without paying adequate attention to the sustainability of these resources. Unplanned expansion of urban centers exceeds, in some places, the carrying capacities of available resources to meet new demand. It also causes sanitation and waste management problems and puts pressure on social services, in addition to loss of biodiversity and agricultural land.

Yemen is a country with rich natural habitats, species and genetic diversity, including many endemic species resulted from the variant altitudinal topography, climate, and geographical landscapes. The unique geographical position of Yemen with the variant climatic and topographical features is favorable for existence of diverse ecosystems, natural habitats, and great marine, coastal, and terrestrial biodiversity. The flora of Yemen is very rich and heterogeneous. According to the *Gap Analysis of Natural Plant Biodiversity of Yemen* (2011), about 2,810 plant species were recorded in Yemen in which endemic and near endemic plants were estimated about 604, among which 455 are endemic (307 in Soqatra), constituting of about 16% of the flora which does not occur elsewhere (National Biodiversity Strategy and Action Plan, NBSAP II 2015).

On the other hand, Yemen has very limited natural resources including for instance arable land, water, fishery, and green cover which evidently experience constant degradation. The arable lands do not exceed 3% of the total natural area which is dominated by desert and mountains. The arable lands experience continuous deterioration by about 1.8% annually during the period 1999-2006 as a result of the water erosion, desertification, salinization, and urbanization. The total lands covered by forests are estimated about 1.5% until 2005. Desertification is accounting for over 50 percent of total land of the country. Desertification of agricultural land ranges from 3-5 percent annually, whereas the area of deteriorated land due to soil erosion and salinity is estimated to be 12 million hectares and another 3.8 million hectares, respectively. The situation is further worsened as a result of encroachment of sand dunes (NSES 2005-2015). The potential for greater desertification is high considering several factors including changes in socio-economic patterns and farming practices and increasing demand for fuel, abandonment of terraces, overgrazing and depletion of tree cover and water erosion problems.

2.2 Summary of Key Results and Activities

The project will be implemented through two components:

1. Labor Intensive Works and Community Services
2. Project Management and Monitoring

The overall objectives of Component 1 are to (a) provide income support to target communities through temporary employment opportunities, (b) increase the productive assets and means of livelihood of beneficiary households and communities and improve access to community and services and (c) preserve the implementation capacity of the SFD and PWP, and key national service delivery programs. The component will be implemented through three subcomponents that engage the SFD in subcomponents 1.1 and 1.3, and PWP in subcomponent 1.2, which build on existing and well-established program implemented by these entities. Although both subcomponents 1.1. and 1.2 will deliver labor intensive interventions, their primary objectives and approaches are different: subcomponent 1.1. delivers cash for work with a safety net approach, whereby beneficiaries of the cash are at the individual household level, While the primary objective of subcomponent 1.2 is to create community assets and improve community infrastructure, and in doing so generate short-term employment for participating workers.

2.2.1 PWP Project Component (1.2)

The subcomponent will implement labor intensive, small -scale infrastructure provided through contracting local private sector contractors. Subprojects will include, but are not limited to, water harvesting schemes, stone paving of

village access roads and streets, water supply, sewerage networks and school rehabilitation, among others, based on the priority needs identified by each targeted community. The choice of these subprojects takes in consideration communities' ability to operate and maintain the supported infrastructure and would not require technical expertise to do so; technical specification of roads and schools' construction will comply with the standards prepared by relevant sectoral authorities, as applicable. Wage intensity of subprojects will have to meet the requirement of 35% percent of above of the subproject cost. This subcomponent will create approximately 256,000 work days of employment, about 20,000 direct beneficiaries are expected to participate in labor, and over 310,000 individuals will have access to basic services. The subprojects will be implemented through a contractual arrangement and grant provision from the UNDP to the PWP. The grand under this subcomponent will finance works, goods, consultants' services, training, non-consultant services, and operating costs of PWP.

2.2.2 SFD Project Components (1.1 and 1.3)

Subcomponent 1.1: Cash-for Work and Youth-targeted Community Services

The subcomponent will implement labor intensive works subprojects determined by the community, such as in irrigation, water harvesting, rehabilitation of agricultural terraces, maintenance and improvement of village access roads, improvement of water resources, access to improved water and sanitation, watershed management, agricultural inputs, other based on the priority needs identified by each targeted community. Each participating household would be eligible to receive a maximum of US\$ 500 (depending on the household size) in the form of labor wage. The size and number of interventions assigned to each community will be determined by the total budget envelope allocated to the community, as calculated based on the number of households who register for participation in labor. The subcomponent will also finance subprojects that provide income opportunities, training and work experience to youth in the 16 to 25 year age bracket, engaging them in the delivery of community services, including hygiene and behavior change, literacy, alternative schooling, nutrition services, planting trees, paving of roads, cleaning shorelines, and in youth initiatives promoting the protection of human capital through special attention to nutrition-related interventions; and peace building and social cohesion, interventions, as may be proposed by communities and youth groups.

The subcomponent is expected to create approximately 900,000 work days of employment over 32,000 direct beneficiaries are expected to benefit from the wage labor, and about 92,600 individuals will have access to basic services. The wage intensity of subprojects under this subcomponent is expected to be at least 30-50 percent of the average total cost of subprojects. The subcomponent will be implemented through a contractual arrangement and grant provision from the UNDP to the SFD. The SFD will deliver these subprojects with the direct involvement of community and civil society groups (for example, community-based organizations, user groups, village cooperative council, and local NGOs) using various implementation methods focused on community-based approaches, such as community contracting. The grant under this subcomponent will finance community grants, wages, training of youth and communities, consultants' services, goods, work, non-consultant services, and operating cost of SFD.

Subcomponent 1.3: SME Revitalization and Employment Generation

The subcomponent will directly support around 2,000 SME clients of microfinance that have been severely affected by the conflict, by relieving them from their current outstanding loans with the MFIs and by supporting the rehabilitation of their enterprises. The project will use the existing solidarity funds (Takaful Fund) within each MFI to pay off the outstanding loans of the targeted SMEs and channel the support needed to rehabilitate and revitalize their damaged businesses. Moreover, given the important role the microfinance industry plays in contributing to the alleviation of poverty, the project will support the operating deficit of at least seven rural-based MFIs, which will enable them to sustain their levels of capacity and outreach, to continue to provide the financial services needed by the poor.

Additionally, the subcomponent will support 800 farms of essential crops, affected by the conflict, with seeds, seedlings, drip irrigation systems, and other agriculture inputs. The agriculture inputs will substitute for farmers' damaged inputs and restore their ability to grow food, generate income, and create wage employment. The focus will be on farms of the horticulture products, such as tomatoes, potatoes, and cucumbers, and cereals such as wheat, sorghum, and oats. It is expected that this intervention will generate 6,400 seasonal and permanent employments within the agriculture sector, increase farmers' resilience, and increase the supply level and access to basic food commodities within the targeted communities. The subcomponent will be implemented under the same contractual arrangement and grant provision from the UNDP to the SFD as in subcomponent 1.1 and will be implemented through the SFD's well established SMED program.

3 Legal and Regulatory Framework

The ESMF is prepared to:

- comply with national environmental and social laws and regulations, and the operating procedures of PWP and SFD (including their ESMFs)
- meet the requirements of the World Bank's Environment Assessment Policy (OP 4.01), including the World Bank Group Environment, Health and Safety (EHS) Guidelines, most particular the General Guidelines, the Guidelines for waste management facilities, and the Guidelines for water and sanitation
- meet the UNDP Social and Environmental Standards (SES)

3.1 National Legislation, Policies and Regulations

3.1.1 National Environmental Action Plan

The Republic of Yemen (RoY) enacted a National Environmental Action Plan (NEAP) in 1995 that was prepared with the support of the World Bank. The NEAP defines priority actions regarding key environmental issues such as water resources, land resources, natural habitats, and waste management.

3.1.2 National Biodiversity Strategy and Action Plan

The NBSAP calls for "achieving a resilient, productive and sustainable socio- ecosystem by 2050". The strategy and its action plan aims to halt the overall biodiversity loss and maintain healthy, productive and functional ecosystems based on establishing coherent and resilient ecological networks supported by restructured policies and adequately mandated and empowered local communities and institutions for sustainable and equitable use of natural capital of importance to human well-being and economic prosperity.

3.1.3 National Water Sector Strategy and Investment Program

This strategy (2004) proposes a set of institutional, financial and other measures, which are aimed at addressing discrepancies in the five sub-sectors in order to protect the interests of all stakeholders in water resources. Obviously, if the situation continues as it is without regulation of groundwater extraction and use, without reduction of the current unsustainable level of water resources use, and without putting an end to the ongoing resource capture, then this will eventually harm everyone, including farmers, who will be the first victims of water exhaustion.

At the same time, (water) regulation is needed to safeguard or secure the economic and social growth of the cities. Growth will not happen unless the cities get their water needs. Hence, the strategy notes that an equitable mechanism for rural-to-urban transfer of water from the rural peripheral areas surrounding cities needs to be developed, as well as strict measures to protect the water fields, which supply the cities, against illegal drilling.

3.1.4 Water Law

The ECRP project is subject to the following Yemeni laws and regulations: National Water Sector Strategy and Investment Program; Water Law No. 33 issued in 2002 and modified in 2006 after the creation of Ministry of Water and Environment, Its by-law was issued in 2011 by the Cabinet decree.

The law defines water resources as any water available in the republic's territory and its share of common waters jointly owned with neighboring countries. This is comprised of ground water, surface water, wastewater after purification, and saline water after desalination. The law's main objective is to regulate, develop, sustain and increase efficiencies in water utilization, protect from pollution, transport, and engage the beneficiaries of water installations in participatory management, investment, development, operation, maintenance and preservation at the various stages of development. Water is considered as a common property accessible to all. Management of water resources is entrusted to the National Water Resources Authority, which assess the resources, classify water basins and zones, and prepare the national water plan, which is considered as one of the components of national economic and social planning. Priorities of water use are: drinking and domestic use shall have absolute priority. Then in declining priority, watering livestock, public utilities, irrigation, industrial purposes, minimal level of environmental needs. For these uses water distribution and transport should be done according to hygiene means. Existing and acquired water rights prior to the issuance of the law will be maintained, except in special cases when fair compensation will be ensured.

Traditional water rights of rainwater harvesting and natural runoff flow in relation to irrigation shall be maintained. The same applies for the traditional rights on natural springs, streams, and creeks. The Water Law and its by-law are a notable achievement in Yemeni legislation and provide important legislation for environmental management of UNDP/ ECRP activities.

3.1.5 Environmental Protection Law

The Environmental Protection Law (Law 26/1995; EPL), enacted in 1995 in the wake of the NEAP, constitutes the framework environmental legislation for Yemen. It includes provisions for environmental protection in Yemen, the issuance of permits, and Environmental Impact Assessments (EIAs). The provisions of the law are implemented through By-Law 148/000.

The law is also designed to: (i) incorporate environmental considerations in economic development plans at all levels and stages of planning, (ii) protect the national environment from activities practiced beyond national boundaries, and; (iii) implement international commitments ratified by the RoY in relation to environmental protection, pollution control, the conservation of natural resources, and global environmental issues such as the depletion of the ozone layer depletion and climate change.

Environmental Protection Authority

The EPL established an Environmental Protection Council and granted it power to take all measures necessary to protect and improve the quality of environment and to prevent pollution of the environment. Decree 101/2005 established the Public Environmental Protection Authority (EPA) to replace the Council and lays down its objectives, tasks and management. The functions assigned to the EPA include:

- preparing and executing appropriate policies/strategies/plans to protect the environment
- conducting environmental surveys
- assessing areas/resources/species to be protected through necessary measures conserving the ecosystem including flora and fauna, wild and marine life as per existing laws and monitoring their application
- developing legislative proposals for environment protection in coordination with other agencies involved
- developing a National Emergency Plan to combat natural disaster and environmental pollution in consultation with the agencies concerned implementing environmental protection law and other relevant laws/regulations
- reviewing EIA studies for public /private sector projects for giving clearance and monitoring their execution
- coordinating relevant programs/activities with national, regional and international agencies and organizations
- recommending necessary laws, regulations and systems to protect the environment, in accordance with regional and international agreements on environmental protection.
- collecting data, assessing and evaluating the status of the environment, and setting up suitable monitoring systems
- laying down appropriate standards for protecting the environment from pollution and formulating policy guidelines to combat industrial pollution and protect animal, plant and marine ecology

Environmental Impact Assessments

The EPL requires the preparation of EIAs for projects proposed by the public and private sectors. The proponent is responsible to undertake the EIA, but the report may be prepared by the proponent or the competent authority or both. Line ministries and Government bodies commission EIA studies at the request of funding agencies and seek the advice of the EPA.

The EPA is responsible for implementing screening procedures, assisting in scoping, evaluation and approval of the Environmental Impact Statement (EIS). However, there is still no regulatory framework to support the implementation of the EPL and the provision of undertaking EIAs for projects is not strictly enforced, particularly for projects that are not internationally funded.

Given the current context, modifications to the EIA procedures are not expected during the project. Current procedures will be taken into account, but there is no expectation at this point that the EPA will review the Project's safeguard instruments.

3.1.6 Labour Law

The RoY Labour Law, Act No.5 of 1995, includes OHS requirements for workplaces that needs to be applied in the project.

- The Labor Law (Law 5/1995) states that women are equal to man in all aspects without any discrimination, and that equality should be maintained between women and men workers in recruitment, promotion, wages, training, social insurance. It also regulates work time for pregnant women.
- The Labour Law regulates the rights and wages of workers, their protection, occupational health and safety. In addition, the Social Insurance Law regulates retirement compensation.
- Yemen has ratified ILO Convention Number 138 on Minimum Age for Admission to Employment (Law 7/2001). The Convention establishes a minimum age for admission to employment.
- Yemen has also ratified the ILO Convention 182 on the Worst Forms of Child Labour. It refers to child labour as work that is mentally, physically, socially or morally dangerous and harmful to children; and interferes with their schooling by depriving them of the opportunity to attend school, by obliging them to leave school prematurely; or by requiring them to attempt to combine school attendance with excessively long and heavy work.

3.1.7 PWP and SFD Operating Procedures

In the context of the Yemen ECRP, both PWP and SFD operating manuals (PWP Operation Manual YECRP, July 2016, see Annex 7; SFD Manual of Operation, May 2010, see Annex 9) specify operational requirements for the management and delivery of sub-projects.

In addition, both PWP and SFD have Environmental and Social Management Frameworks in place that cover activities implemented through the ECRP project (2014: PWP ESMF, Annex 8; SFD ESMF, Annex 10).

3.2 International Agreements and Protocols

The RoY is party to a number of international environmental agreements, the most important of which are:

- World Heritage Convention
- International Convention on Civil Liability for Oil Pollution Damage
- Convention on Biodiversity
- Convention on the Conservation of Migratory Species
- Convention on International Trade in Endangered Species of Wild Fauna and Flora
- United Nations Framework Convention on Climate Change (Yemen acceded to the Kyoto Protocol and is party to Paris Agreement but not ratified)
- United Nations Convention on Combating Desertification
- Environmental Modification Convention
- Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal
- Convention on Wetlands of International Importance Especially as Waterfowl Habitat
- Law of the Sea
- Montreal Protocol on Substances that Deplete the Ozone Layer
- Stockholm Convention on Persistent Organic Pollutants

In general, national agencies are not currently in a position to handle the technical complexities and reporting requirements of international agreements.

Project activities are not expected to be in breach of any international agreement to which the RoY is a party.

3.3 UNDP's Social and Environmental Standards

[UNDP's Social and Environmental Standards](#) (SES) are applied to all UNDP projects, including the ECRP. The application of the SES, which are broadly consistent with those of the World Bank, will help mitigate potentially high adverse environmental and social impacts stemming from the selection and implementation of subprojects.

UNDP's SES came into effect in January 2015. The SES underpin UNDP's commitment to mainstream social and environmental sustainability in its Programmes and Projects to support sustainable development. The objectives of the standards are to:

- Strengthen the social and environmental outcomes of Programmes and Projects
- Avoid adverse impacts to people and the environment
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible
- Strengthen UNDP and partner capacities for managing social and environmental risks
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people

The SES are an integral component of UNDP’s quality assurance and risk management approach to programming. This includes the [Social and Environmental Screening Procedure](#) (see the completed SESP for the project in Annex 1).

Table 1. Key Elements of UNDP’s Social and Environmental Standards (SES)

Overarching Policy	Project-Level Standards	Policy Delivery Process & Accountability
<p>Principle 1: Human Rights</p> <p>Principle 2: Gender Equality and Women's Empowerment</p> <p>Principle 3: Environmental Sustainability</p>	<p>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</p> <p>Standard 2: Climate Change Mitigation and Adaptation</p> <p>Standard 3: Community Health, Safety and Working Conditions</p> <p>Standard 4: Cultural Heritage</p> <p>Standard 5: Displacement and Resettlement</p> <p>Standard 6: Indigenous Peoples</p> <p>Standard 7: Pollution Prevention and Resource Efficiency</p>	<p>Quality Assurance</p> <p>Screening and Categorization</p> <p>Assessment and Management</p> <p>Stakeholder Engagement and Response Mechanism</p> <p>Access to Information</p> <p>Monitoring, Reporting, and Compliance review</p>

The Standards are underpinned by an Accountability Mechanism with two key functions:

- A [Stakeholder Response Mechanism](#) (SRM) that ensures individuals, peoples, and communities affected by UNDP projects have access to appropriate procedures for hearing and addressing project-related grievances; and
- A [Compliance Review](#) process to respond to claims that UNDP is not in compliance with UNDP’s social and environmental policies.

3.4 World Bank Requirements

World Bank Policy on Environmental Assessment, OP 4.01

The Project triggers the World Bank’s Operational Policy on Environmental Assessment (OP 4.01).

Considering the nature and magnitude of potential environmental impacts that might result from Project funded activities, the Project was assigned EA Category B according to OP 4.01.

OP 4.01 provides for the use of an Environmental and Social Management Framework (ESMF) when a project consists of a series of subprojects, and the impacts cannot be determined until the subproject details have been identified. The ESMFs examine the issues and associated impacts, sets out the principles, rules, guidelines and procedures to assess the environmental and social impacts during project implementation. It contains measures and plans to reduce, mitigate and/or offset adverse impacts and enhance positive impacts of subprojects, provisions for estimating and budgeting the costs of such measures, and information on the agency or agencies responsible for addressing project impacts.

As there is no cultural inventory in Yemen, OP 4.11 may be triggered in case of archaeological finds, in which case its implementation falls within the OP 4.01 procedures.

Environment, Health and Safety Guidelines

The World Bank Group Environment, Health and Safety (EHS) guidelines are referenced in footnote 1 of OP 4.01. They are technical reference documents with general and industry-specific examples of Good International Industry Practice (GIIP). They define acceptable pollution prevention and abatement measures and emission levels in World Bank financed projects.

The EHS Guidelines contain the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable costs. Application of the EHS Guidelines to existing facilities may involve the establishment of site-specific targets, with an appropriate timetable for achieving them.

The application of the Guidelines to existing facilities may involve the establishment of site-specific targets with an appropriate timetable for achieving them. The environmental assessment process may recommend alternative (higher or lower) levels or measures, which, if acceptable to the World Bank, become project- or site-specific requirements.

If less stringent levels or measures than those provided in the EHS Guidelines are appropriate, in view of specific project circumstances, a full and detailed justification for any proposed alternatives is needed as part of the site-specific environmental assessment. This justification should demonstrate that the choice for any alternate performance levels is protective of human health and the environment. When host country regulations differ from the levels and measures presented in the EHS Guidelines, projects are expected to achieve whichever is more stringent.

Due to the nature of ECRP activities, the Project will use as appropriate the General Guidelines, including (i) Environmental, (ii) Occupational Health and Safety, (iii) Community Health and Safety, and (iv) Construction and Decommissioning, as well as the Guidelines for Construction and Decommissioning, as well as any other relevant Guidelines.

4 Social and Environmental Impacts

This section summarizes key social and environmental risks and indicative management measures for the project. Because a full risk analysis is not possible until site-specific design details are known, the identification of project level risks provides an indicative assessment to be elaborated further through sub-project level screening, assessment and risk management (see Section 5). Therefore, sub-project screening and site-specific assessments and management plans will be essential.

The following section describes the UNDP social and environmental Principles and Standards that have been identified as relevant based on completion of the project-level Social and Environmental Screening Procedure (SESP, see Annex 1). The project-level screening was updated in 2018 and was informed by project documents, Third-Party Monitoring reports, sub-project risks, and audits conducted to date. It is based on a precautionary approach, looking at the broad category of activity/intervention types and assessing potential risks based on the types of activities that are expected to be implemented at the sub-project level. While the project was initially categorized as Low Risk, the project was recategorized as Moderate Risk following the 2018 SESP update. Although different levels of risk categories have been assigned to different activities, varying from Low to Moderate, the overall project categorization should follow the highest level of risk categorization, which in this case is Moderate.

Table 2 below summarizes key principles and standards that were triggered after pre-screening of the project and the SES requirements for the project, as identified in the SES and based on the results of the SESP. This table addresses the principles and standards that have triggered both low and moderate level risks.

Table 2: Summary of Key SES Requirements for the ECRP

SES Principle or Standard	Summary of Relevant SES Requirements
Principle 1: Human Rights	<p>Recognize centrality of human rights to sustainable development, upholding principles of accountability and rule of law, participation and inclusion, and equality and non-discrimination</p> <p>Adhere to the UN Development Group Statement of Common Understanding of the Human Rights-Based Approach to Development Cooperation and Programming</p> <p>Refrain from providing support for activities that may contribute to violations of a State’s human rights obligations and the core international human rights treaties</p>
Principle 2: Gender Equality and Women’s Empowerment	Promote design and implementation of gender responsive projects

	<p>Reduce gender inequalities in access to and control over resources and the benefits of development</p> <p>Ensure that both women and men are able to participate meaningfully and equitably</p> <p>Ensure that projects do not discriminate against women and girls</p>
Principle 3: Environmental Sustainability	<p>Address poverty and inequality while maintaining and enhancing natural capital</p> <p>Apply relevant social and environmental standards to avoid adverse impacts, or where avoidance is not possible, to minimize, mitigate, and manage potential residual adverse impacts</p> <p>Use and promote a precautionary approach to natural resource conservation</p>
Standard 1: Biodiversity Conservation and Natural Resources Management	<p><u>Natural Habitats:</u> If potential adverse impacts, proceed only if (i) no viable alternatives, (ii) benefits substantially outweigh environmental costs, (iii) conservation and mitigation measures in place</p> <p><u>Water Resources:</u> Apply integrated water resources management approach. Seek to avoid significantly altering flow regimes.</p> <p><u>Sustainable Management of Living Natural Resources:</u> Ensure sustainable resource management. Apply appropriate industry-specific best management practices. Support small-scale producers/harvesters to adopt sustainable practices.</p>
Standard 2: Climate Change Adaptation and Mitigation	<p>Climate Change Risks should be identified and assessed. Include gender risks and potential differentiated impacts</p> <p>Identify opportunities to facilitate adaptation</p>
Standard 3: Community Health, Safety and Working Conditions	<p><u>Community Health and Safety:</u> Evaluate health and safety risks from projects: design, construction, operation, decommissioning, and establish preventive measures consistent with good international practice (apply World Bank Group EHS Guidelines)</p> <p>Consider exposure to accidents and natural hazards and avoid exacerbation (e.g. land use changes that may increase risk of flooding, landslides)</p> <p>Consider how women’s and children’s health and safety could be at risk</p> <p><u>Infrastructure safety:</u> Ensure design, construction, approval by competent professionals and authorities. Where structural failure poses safety risks, (i) develop/monitor plans for supervision, operation, maintenance; (ii) independent experts verify design, construction, operational procedures; (iii) periodic safety inspections are conducted</p> <p><u>Emergency Preparedness:</u> Ensure emergency preparations and plans are in place, resourced, reviewed, and publicized. Ensure emergency planning is gender sensitive and participatory. Consider potential differential impacts of emergency situations on men, women, children, elderly, disabled, potentially marginalized groups</p> <p><u>Community exposure to disease:</u> Avoid or minimize the potential for community exposure to water-borne, water-based, water-related, and</p>

	<p>vector-borne diseases, and communicable diseases that could result from Project activities (including labour influx)</p> <p><u>Labour Standards:</u> Ensure compliance with national labour and occupational health and safety laws, with obligations under international law, and consistency with the principles and standards embodied in the International Labor Organization (ILO) fundamental conventions, including forced labour and child labour</p>
Standard 4: Cultural Heritage	<p>Avoid adverse impacts, comply with national laws and international obligations. If avoidance not possible, mitigate impacts. Develop CH Management Plan to mitigate significant adverse impacts</p> <p>Use independent experts to assess adverse impacts and stakeholder consultations</p> <p>Incorporate chance find procedures</p> <p>Do not remove cultural heritage unless conditions met</p> <p>If utilize cultural heritage, (i) inform communities of rights, (ii) conduct good faith negotiations with documented outcome, (iii) provide for fair and equitable benefit sharing</p>
Standard 7: Pollution Prevention and Resource Efficiency	<p><u>Pollution prevention:</u> Avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. Apply international good practices and World Bank Group EHS Guidelines</p> <p><u>Wastes:</u> Avoid/minimize generation of waste, ensure recovery, reuse, proper treatment, disposal. Ensure reputable contractors and chain of custody</p> <p><u>Hazardous Materials:</u> Avoid/minimize release of hazardous materials. If avoidance not possible, assess health risks, including differentiated effects on women, men, children. No manufacture or use of materials subject to international bans or phase-outs (Stockholm POPs, Montreal Ozone)</p> <p><u>Pesticides:</u> Apply IPM/IVM, avoid/reduce synthetics, utilize least harmful, prohibit use of WHO Class Ia & Ib pesticides and control Class II, handle per FAO International Code of Conduct</p> <p><u>Resource Efficiency:</u> Apply feasible, cost effective resource efficiency measures (e.g. reduce water usage) to ensure no significant adverse impacts on others/ecosystems</p>

NOTE: This provides a summary of key relevant requirements, the full SES (www.undp.org/ses) should be referenced for a comprehensive list of requirements.

The main risks identified through the SESP are summarized below along with minimum requirements that need to be considered and indicative management measures.

4.1 Conflict

4.1.1 Activities That May Result in Conflict Risks

Because of the ongoing conflict in Yemen, all sub-projects need to be developed in a conflict sensitive approach to ensure activities don't exacerbate conflict or violence. In addition, local conflicts may occur due to competition over limited jobs and conflict between contractors and local laborers. This is a key element of UNDP's commitment to human rights in the SES.

4.1.2 Management Measures

Given that the ECRP is in its third year of implementation, measures have already been undertaken to reduce the potential impacts. Such measures include mainly developing a clear definition of targeting and selection criteria based on data provided by the UN Clusters; participatory preparation and implementation of subprojects by communities and relevant stakeholders (refer to ESMF section on Stakeholder Engagement for further detail); frequent communication with communities and local stakeholders; grievance redress/ stakeholder response mechanism procedures to ensure timely handling of grievance redress; and public disclosure of the reasons for the rejection of subprojects, if any, to increase transparency.

PWP and SFD apply a conflict-sensitive approach to prevent and detect conflict and respond quickly to potential conflicts. This helps ensure that the implementation process will do no harm and leads to effective development interventions.

The following steps are taken to ensure achieving such goal (see PWP Operation Manual):

- Through transparent allocation of funds that is based on national statistics indicators in the governorate and district levels, followed by coordination with local actors and inclusive participatory process, PWP/SFD will be reducing conflict over resources.
- Selection of the community beneficiaries is based on a transparent eligibility criteria and consultations with communities and local leaders.
- Before implementation and during the participatory consultations with local communities to define the interventions, PWP/SFD's teams analyzes the context in which the project will be implemented to make sure that PWP/SFD's intervention will not cause a conflict or escalate an existing conflict in that particular area. This analysis enables PWP/SFD to understand the interaction between the intervention and the context in a particular area. The steps will be as follows:
 - Understanding the context in which the project will be implemented
 - Carrying out a conflict analysis
 - Understanding the interaction between the intervention and the Context
 - Linking the conflict analysis with the programming cycle of the Intervention
 - Using this understanding to avoid negative impacts and maximize positive impacts
 - Implement, monitor and evaluate the intervention under a conflict-sensitive approach (including redesign when necessary)
- Ensuring transparency of the procurement process including those of community contracting.
- Expected environmental and social impacts (including OHS risks) are identified during the project's preparation and mitigation measures are included in the design and implementation plan. Where investments are required to implement the measures, ensure reflection of these measures quantified as pay-items in the tender bill of quantities.
- During the implementation process, PWP/ SFD's staff keeps;
 - Monitoring the situation to predict and recognize possible conflicts around the project and try to keep risks at a minimal level.
 - Following-up in order to strengthen the partnership with local authorities and community committees as important players in conflicts resolution.
- PWP/SFD does not interfere to resolve existing conflict or be part of any conflict. However, PWP/SFD's intervention might help in reducing existing conflict.
- PWP/SFD might work in an environment where a conflict is prevailing such as the conflicts resulting from the war in some areas in Yemen or are due to tribal conflicts. The staff in such case are fully aware of the conflicts that surround their work and activities, but their project does not deal directly with the conflict.
- The evaluation of LIWP and other community-based interventions found that PWP/SFD's intervention increases community solidarity and cooperation.
- PWP/SFD's complaint mechanism will be a complementing tool to catch shortcomings that may arise, through of the above precaution measures, and deal with them transparently and learn lessons from them to improve performance in future programs. Project-affected people will be informed of the complaint mechanism.

In addition, stakeholders have noted that there is sometimes conflict between contractors and local labour. This will be mitigated through greater stakeholder awareness and engagement at the local level and further skill-building of local labour and ensuring all parties are aware of the grievance mechanism.

4.2 Gender and Social Inclusion

With persistent gender gaps existing even prior to the conflict (i.e., in education, legal restrictions on mobility and decision-making, barriers to female participation in the labor force and in political life, and few opportunities for voice, paid work and entrepreneurial activity), women are more vulnerable to the economic, social and security challenges that result from the conflict and should thus be proactively reached for access to cash to improve their purchasing power for food and basic necessities. The stark gender gaps are influenced by and set within the context of conservative and strict gender norms. The project includes specific actions and design parameters to ensure the inclusion and participation of women. Such design parameters will ensure women are provided an equal opportunity to benefit from the employment opportunities (for example, targeting female-headed households, allowing flexibility in work hours, and providing on-site child care).

Consideration for IDPs, women and youth as specific vulnerable groups are included in the targeting as well as type of intervention.

Investing in persons with disability is central to poverty reduction and achieving the sustainable development goals. It can contribute to greater social equity, inclusion, cohesion, and human capital formation in Yemen, all of which are critical to breaking the cycle of poverty, deprivation, and social exclusion. The Yemen ECRP has been instrumental in introducing adaptive and shock responsive safety net responses.

4.2.1 Activities That May Result in Gender and Social Inclusion Impacts or Risks

The ECRP is implemented in the midst of the current crisis in Yemen, where women are adversely affected and at the same time asked to take on new and additional roles as heads of households or income-earners. In this light, ECRP implementation is found to have the potential to reproduce discrimination against women based on gender, if adequate gender mainstreaming considerations are not taken into account within the Project approach.

4.2.2 Management Measures

To the extent possible, the ECRP will promote gender equality and the empowerment of women and seek to reduce gender inequalities in access to and control over resources and the benefits of development. Sub-projects will ensure that both women and men are able to participate meaningfully and equitably, have equitable access to project resources, and receive comparable social and economic benefits.

Sub-projects will not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities.

Sub-projects will ensure precautionary measures are in place to prevent potential exposure of beneficiaries, workers, and affected people to sexual exploitation and abuse.

Sub-projects will ensure precautionary and control measures are in place to prevent potential exposure of beneficiaries, workers, and affected people to health and safety hazards.

The project will build upon existing services and pilot new approaches to improve the quality of targeted social care services and economic opportunities for people with disabilities.

The ECRP has mainstreamed gender issues and is addressing gender equality from project identification, site selection, management and oversight. Appropriate management measures taken by the project are explained below.

The project has actively targeted women (at least 30%) to support their income-generation opportunities and contribute to the delivery of community service and livelihood assets through Cash for Work and Cash for Services, and through earmarked funding (accounting to 15% of the project budget) dedicated to address severe and acute malnutrition for pregnant and lactating women (and children) by providing cash assistance (mothers are the recipients) and facilitating the affected families' access to nutrition services.

To ensure women are targeted by the project, in cash for work interventions, the targeting unit is the household. Women are encouraged to participate by measures that make their participation easier and acceptable to households and the community: allowing flexible hours of on-site work, providing on-site child care (this will also hire a caregiver from the community), having the subproject at the community level and at a location close to the villagers, and by consulting women on the types of subprojects they can participate in. Subcomponent 1.1 is expected to have 30 percent female participation, and more than 50 percent of the microfinance clients under subcomponent 1.3 are women. Women are assumed to benefit equally from the community infrastructures created. Women are the primary beneficiaries of the water harvesting schemes as these reduce time and effort in fetching water, a responsibility for women and girls. Women also benefit from having latrines at home, they regain dignity and freedom from humiliation

of open defecation. Women are also the primary wage participants and beneficiaries of nutrition-based service delivery.

Additionally, nutrition activities target households with pregnant and lactating women and children under the age of five. Primary focus is given to eligible households from the list of the Social Welfare Fund (SWF) households – the poorest of the poor – but will not be limited to them, as many poor HHs are excluded from the SWF program. Women and children of the SWF households receive cash assistance of YR10,000 per month (about \$40) for 12 months conditions to attending health education sessions and follow up on the treatment (provided by the health sector). Wider community members with mothers and children under age of 5 who have been screened and identified with severe or acute malnutrition benefit from a transportation and accommodation allowance and a treatment allowance of up to YR 10,000 (about \$40) per family per month during the treatment period (6-9 months).

4.3 Biodiversity and Natural Resources

Conserving biodiversity, maintaining ecosystem services, and sustainably managing natural resources are fundamental to sustainable development. The ECRP will seek to maintain and enhance the goods and services provided by biodiversity and ecosystems in order to secure livelihoods, food, water and health, enhance resilience, conserve threatened species and their habitats, and increase carbon storage and sequestration. ECRP will also promote sustainable use of natural resources to support livelihoods of vulnerable communities as well as benefit sharing between biodiversity conservation and livelihoods restoration.

4.3.1 Activities That May Result in Biodiversity and Natural Resources Impacts or Risks

The project will intervene in fisheries, agriculture and livestock and water resources.

Fisheries (Low Risk)

Project activities to support small scale fishermen through the provision of boat engines in order to increase food production were found to have a Low Risk Rating. The project will target artisanal fishermen using small boats with one off-board petrol engine. There is a low risk that the project may impact on biodiversity and natural resources through overexploitation of fisheries. The small boat engines are not used in deep waters, consequently this reduces the possibility of overfishing additionally fishermen will use traditional methods of fishing. Some of the fishermen will be equipped with fish finders, to help expedite the search of the fish and thus economize the use of fuel. The design of this activity under ECRP project has provisions to ensure sustainability, and the project will carefully monitor the activities of the fishermen during its implementation.

Small scale farming and livestock (Low to Moderate Risk)

Activities will include: Watershed Management/Water Channels, Rehabilitation of Farm Lands, Rehabilitation of Farm Irrigation Infrastructure, Agriculture Infrastructure, Agriculture Input Provision, Support to Livestock Producers. Livestock activities involve the creation of yards in addition to other.

Although the projects are small scale in nature, the cumulative effects of providing support to communities may involve inadvertent impacts on ecosystems that can result in negative effect to ecosystem services provision and biodiversity. It may also include adverse impacts in handling of plastic and wastes generated from agricultural inputs. When further sub-project screening is conducted more information will be available as to the extent of the impacts and management measures required.

Additionally, under the section below on Pollution standards, a mention of potential impacts of the use of pesticides in the activity related to provision of agriculture inputs is addressed in more detail.

Water resources (Moderate Risk)

The project activities include rehabilitation of existing water supply infrastructure at a small-scale. This includes rain water catchments at the household level, community reservoirs and maintenance of clean water supply - piping systems-, and small-scale agriculture irrigation systems. Sub-projects will not create new extraction points or new infrastructure for containment or diversion of water. The project aims to rehabilitate or construct a total of 500,000 m3 storage capacity for water supply which are relatively small-scale.

Although the project interventions are small scale in the context of Yemen, in light of its semi-dry and arid climate and exposure to climate change and variability, all water related interventions may have a potential impact on water availability in the medium and long term.

4.3.2 Management Measures

Considerations for the identification of management measures are summarized below, and additional guidance can be referred to in the [SES Biodiversity Conservation and Natural Resource Management](#).

Precautionary approach: The ECRP applies a precautionary approach to the use, development, and management of natural habitats, the ecosystem services of such habitats, and living natural resources.

Assessment: As an integral part of the social and environmental assessment process, direct and indirect impacts on natural resources, biodiversity and ecosystem services in the Project's area of influence are identified and addressed. In sub-projects that present potential significant impacts on natural resources, biodiversity and ecosystem services an assessment process will consider, inter alia (i) risks of habitat and species loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient loading, pollution, and (ii) differing values (e.g. social, cultural, economic) attached to biodiversity and ecosystem services by potentially affected communities. Potential cumulative and induced impacts will be assessed. Project-related impacts across potentially affected landscapes should be considered.

Water resources: For sub-projects that affect water resources, integrated water resources management approaches will be applied that seek the coordinated development and management of water, land and related resources in order to maximize the economic and social welfare in an equitable manner and without compromising the sustainability of ecosystems. Sub-projects will avoid significantly altering flow regimes in ways that prevent water resources from fulfilling their functions for upstream and downstream ecosystems and their services to local communities. Social and environmental risk assessments should address, among other issues, potential effects and impacts related to climate variability, water pollution, sedimentation, water-related disasters, drinking water supply, energy production, agriculture, and fisheries.

Sustainable management of living natural resources: Living natural resources will be managed in a sustainable manner. Sustainable resource management is the management of the use, development, and protection of resources in a way, or at a rate, that enables people and communities, including indigenous peoples, to provide for their social, economic, and cultural well-being while also sustaining the potential for those resources to meet the needs of future generations. This includes safeguarding biodiversity and the life-supporting capacity of air, water, and soil ecosystems. Sustainable management also ensures that people who are dependent on these resources are properly consulted, women and men have opportunities to equally participate in development, and benefits are shared equitably.

UNDP will ensure sustainable resource management through the application of appropriate, industry-specific best management practices, and where codified, through application of one or more relevant credible standards as demonstrated by an independent verification or certification system.

For Projects that involve the production, harvesting, and/or management of living natural resources by small-scale landholders and/or local communities, UNDP will support adoption of appropriate and culturally sensitive sustainable resource management practices.

In addition to the general requirements related to management measures as stated in the section above, project context specific management measures were identified for each sector.

Project specific management measures in addition to standard SES UNDP measures (fisheries)

The project will work with fishing associations responsible for ensuring that fishing protocols that establish procedures for sustainable fisheries are in place and adhered to, to protect fish stocks and regulate seasonal controls on fishing. Development and strict implementation of policy, legislative and management tools are working to ensure harvest level of coastal resources are maintained within the biological limits of Yemen's coastal zones.

The project will be implemented in line with the Biodiversity Conservation and Sustainable NRM of the SES which includes fishing management. The concept of sustainable and responsible fishing will be promoted through this partnership. Through its direct support to small scale fishermen, the project will improve community livelihoods and training on quality and resource sustainability to include the reduction of wastage.

Project specific management measures in addition to standard SES UNDP measures (water resources) (to be developed based on the local context):

Social and environmental risk assessments should be conducted to address, among other issues, potential effects and impacts related to climate variability, water pollution, sedimentation, water-related disasters, drinking water supply, energy production, agriculture, and fisheries.

4.4 Climate Change

Climate change is a fundamental threat to sustainable development and the fight against poverty. It has the potential to stall and even reverse human development through its impacts on key development sectors and activities, including agriculture and food production, water, ecosystems and other natural resources, disaster risk management and health. Climate change may exacerbate extreme weather events, increasing the risk of high-impact disasters. Communities that are already subjected to impacts from climate change may experience an acceleration and/or intensification of impacts due to Project activities that do not integrate and anticipate climate change risks.

Yemen has a predominantly semi-arid to arid climate and is highly vulnerable to climate change-related impacts such as drought, extreme flooding, changes of rainfall patterns, increased storm frequency/severity, sea level rise. Literature show that the main sectors under stress are: water resources, agriculture, and coastal zones. Water scarcity related to prolonged droughts, evaporation, drying up of wells, excessive rainfall (which produces flash flooding and can potentially wipe out crops) caused by rainfall variability are the key issues.

ECRP sub-projects will aim to be sensitive to climate change risks and not contribute to increased vulnerability to climate change.

4.4.1 Activities That May Result in Climate Change Impacts and Risks

The ECRP project activities related to agriculture (including farming, livestock) and fisheries and water (irrigation, catchment, conservation), will be most sensitive and vulnerable to the impacts of climate change. Infrastructure in areas of potential flooding may also be at risk.

Some project activities that aim to increase water availability, may inadvertently lead to depletion of groundwater resources or diversion of sources to some communities in detriment of others, if not properly managed based on appropriate climate risk information and management measures.

4.4.2 Management Measures

Climate change risk assessment: As an integral part of the social and environmental assessment process, Proposed subprojects are screened and assessed for climate change-related risks and impacts of and to projects. PWP and SFD will ensure relevant climatic information is identified and informs project design and management measures. If significant potential risks are identified, further scoping and assessment of vulnerability, potential impacts, and avoidance and mitigation measures, including consideration of alternatives to reduce potential risks, will be required. In projects, or a portfolio of projects, that present climate change risk, a climate change risk assessment may include the following, where relevant:

- a) Potential project-related increases in emissions that may exacerbate climate change, such as GHG emissions and black carbon emissions.
- b) The viability or longer-term sustainability of project outcomes due to potential climate change. This will involve the identification of components that are sensitive or vulnerable to emerging or anticipated manifestations of climate change.
- c) Risks that a project may increase exposure to climate change. Project components must be assessed for potential unintended or unforeseen increases in vulnerability to climate change.
- d) Potential social, gender, and age risks, based on the differentiated impacts of climate change.
- e) Opportunities for (i) facilitating adaptation via synergies with existing or planned activities, (ii) combining mitigation (e.g. reduction in GHG emissions) and adaptation measures, and (iii) exploiting potentially beneficial changes in climatic or environmental conditions to deliver developmental benefits.

4.5 Community Health, Safety and Working Conditions (including OHS)

The ECRP will avoid or minimize the risks and impacts to community health and safety that may arise from project-related activities, with particular attention given to marginalized groups. This includes Occupational Health and Safety (OHS) risks. Labour is one of a country's most important assets in the pursuit of poverty reduction. Respect of workers' rights and the provision of safe working conditions are keystones for developing a strong and productive workforce. The ECRP applies the World Bank Group Environment, Health and Safety (EHS) guidelines.

4.5.1 Activities That May Result in Community Health, Safety, Working Condition Impacts and Risks

Sub-project activities, equipment, and infrastructure can increase community exposure to risks and impacts. While this is identified as a Moderate Risk, some projects have experienced high levels of OHS risks. This has therefore been identified as a priority risk and management measures put in place to reduce risk and manage risks.

Such project activities such as working from height, excavation works, rock extraction, working in confined areas, lone workers, traffic, and weak management of work site such as housekeeping and access and egress controls, may pose hazards and risk threats to the workers and local community members. Exacerbating this, stakeholders have noted that there is a weak culture of using safety precautions and safety gear in Yemen.

In addition, given the context in Yemen, there is a risk of airstrikes that needs to be minimized to the extent possible. Another challenge is that some of the safety gear needed is not always available in the local markets.

Basic services, such as water and sewer, may face disruption and present community health and safety risks to those affected.

Project activities that may trigger such risks to local communities and workers are detailed under the “Hazard identification, risk assessment and determining controls” section of the latter report and in the SESP and are listed below:

- Project construction, operation (fall from heights (human and material), slip, trip and falls, transportation including traffic injuries, material and equipment handling and transfer, excavation work, others e.g. weather elements, physical exertion, etc.)
- Failure of structural elements of the project may pose risks to communities (e.g. collapse of buildings or infrastructure, demolishing work, accumulation of soil)
- Potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections)
- Project implementation activities result in a disruption in basic services, such as water or sewer, temporarily affecting the local community.
- Risks related to ongoing conflict in Yemen and potential for airstrikes.

4.5.2 Management Measures

Appropriate management measures have been put in place. A detailed OHS risk categorization was developed for the purpose of identifying sub-project level risks to enable halting any salient high-risk projects from further implementation until adequate management measures are put in place. Additionally, a specialized consultant was hired to develop management plans, screening checklists, and ensure high frequency of field monitoring. Additionally, support to the Responsible Parties has been reinforced by training and monitoring and capacity assessments. The results of the latter measures taken by UNDP are included in a detailed “OHS Framework” which is available in Annexes 5 and 6.

Community health and safety: Community health and safety refers to protecting local communities from hazards caused and/or exacerbated by project activities (including flooding, landslides, contamination or other natural or human-made hazards), disease, and the accidental collapse or failure of Project structural elements such as dams. Project-related activities may directly, indirectly or cumulatively change community exposure to hazards. A significant concern with major development projects is the spread of communicable diseases from the workforce to the surrounding communities.

Risks to, and potential impacts on, the safety of affected communities and workers during the design, construction, operation, and decommissioning of projects will be assessed to establish preventive measures and plans to address them in a manner commensurate with the identified risks and impacts. These measures will favour the prevention or avoidance of risks and impacts over their minimization and reduction. Consideration will be given to potential exposure to both accidental and natural hazards, especially where the structural elements of the project are accessible to members of the affected community or where their failure could result in injury to the community. Sub-projects will avoid or minimize the exacerbation of impacts caused by natural or man-made hazards, such as landslides or floods that could result from land use changes due to activities.

Infrastructure safety: Structural elements will be designed and constructed by competent professionals and certified or approved by competent authorities or professionals. Sub-projects with structural elements or components whose failure or malfunction may threaten the safety of communities, will ensure that: (i) plans for Project supervision,

operation, and maintenance are developed and monitored; (ii) independent expertise on the verification of design, construction, and operational procedures is used; and (iii) periodic safety inspections are carried out.

Emergency preparedness: Responsible Parties will be prepared to respond to accidental and emergency situations in a manner appropriate to prevent and mitigate any harm to people and/or the environment. This preparation, reflected in planning documents, will include the identification of areas where accidents and emergency situations may occur, communities and individuals that may be impacted, response procedures, provision of equipment and resources, designation of responsibilities, communication, and periodic training to ensure effective response. The emergency preparedness and response activities will be periodically reviewed and revised, as necessary to reflect changing conditions. The differential impacts of emergency situations on women and men, the elderly, children, disabled people, and potentially marginalized groups will be considered, and the participation of women in decision-making processes on emergency preparedness and response strategies will be strengthened. Appropriate information about emergency preparedness and response activities, resources, and responsibilities will be disclosed to affected communities.

Community exposure to disease: Sub-projects will avoid or minimize the potential for community exposure to water-borne, water-based, water-related, and vector-borne diseases, and communicable diseases that could result from activities, taking into consideration the differentiated exposure to and higher sensitivity of marginalized groups. Sub-projects will avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project labour. Standing water will be minimized, covered or treated to minimize mosquito breeding. Local authorities and the Responsible Parties will coordinate closely to ensure any disruption to local basic services, such as water and sewer, is avoided where possible and otherwise minimized.

Work standards: Sub-projects will comply with national labour and occupational health and safety laws, with obligations under international law, and consistency with the principles and standards embodied in the International Labor Organization (ILO) fundamental conventions, including freedom of association, elimination of discrimination in employment and occupation, elimination of forced or compulsory labour, and elimination of the worst forms of child labour. The ECRP will not employ people under the age of 18; however, youth that are 16-17 years old may be eligible for employment training and capacity building.

Occupational health and safety: Occupational health and safety refers to protecting workers from accident, injury or illness associated with exposure to hazards encountered in the workplace. Hazards can arise from materials (including chemical, physical and biological substances and agents), environmental or working conditions (e.g. oxygen-deficient environments, excessive temperatures, improper ventilation, poor lighting, faulty electrical systems), or work processes (including tools, machinery and equipment).

Responsible Parties' commitment to the OHS Framework strengthens compliance with OHS requirements and protection of staff/workers, as well as middle management accountability to implement the policy and roles and responsibilities and enforcing control measures and procedures. Risk assessment will be conducted for each sub-project site to identify potential hazards and risks and develop and implement corresponding risk control measures. Safety measures hierarchy will be applied starting with hazard elimination, substitution, engineering controls, administrative controls and finally use of PPEs. Furthermore, safe working systems and procedures will be developed and used as well as permit-to-work forms for high risk activities to control risks, authorize implementation confirming compliance to OHS requirements and ensuring close monitoring and inspections to control and minimize risks. In addition the development of positive OHS behavior and strong culture of adherence and compliance to OHS systems will be promoted including setting up and activating branch OHS committees and conducting of field inspections regularly by managers to ensure improvement of OHS systems and practices and promote conducive OHS culture.

Workers will be provided with a safe and healthy working environment, taking into account risks inherent to the particular sector (including gender bias) and specific classes of hazards in the work areas. Steps will be taken to prevent accidents, injury, and disease arising from, associated with, or occurring during the course of work and will ensure the application of preventive and protective measures consistent with the World Bank Group's Environmental, Health, and Safety Guidelines and other international good practice, as reflected in internationally-recognized standards. The involved workers will be insured and the insurance payment will be covered directly by the IP in case of direct implementation modality and as a pay item through bills of quantities in the bidding documents in case of contracting modality.

Please refer to the ECRP OHS Framework for details (Framework for Actions on Occupational Health and Safety Under Yemen ECRP (Annex 5))

Security-related issues: Sub-projects under ECRP do not engage security personnel. In case sub-projects do require involvement and engagement of security personnel to protect facilities and personal property, security arrangements

should be provided in a manner that does not violate human rights or jeopardize the community's safety and security. Potential risks posed by security arrangements to those within and outside the Project area will be assessed, those providing security will be appropriately vetted and trained, and security arrangements will be appropriately monitored and reported. UNDP has currently deconflicted 70 subproject sites in five governorates (Saada, AlHudaydah, Taiz, AlBaida and Sana'a) in high risk locations to minimize the risk of airstrikes.

4.6 Cultural Heritage

The ECRP seeks to ensure that Cultural Heritage is protected in the course of sub-project activities. UNDP seeks to ensure equal participation, access and contribution of women and men in protecting and sharing the benefits of Cultural Heritage.

The Standard applies to sub-projects that may adversely impact Cultural Heritage, including projects that meet any of the following criteria: (i) located in, or in the vicinity of, a Cultural Heritage site ; (ii) involving significant excavations, demolitions, movement of earth, flooding, or other environmental changes; (iii) proposes to utilize tangible or intangible forms of Cultural Heritage for commercial or other purposes. (iv) interventions to preserve the cultural heritage sites.

4.6.1 Activities That May Result in Cultural Heritage Impacts and Risks

As the project conducts small scale infrastructure activities related to community works such as road paving, community reservoirs and piping, and repairing of school buildings in addition to others these project activities, although many do not target the rehabilitation of Cultural Sites directly, they may be located in the vicinity of cultural heritage sites and consequently produce unintended negative effects on such sites. In addition, those sub-projects that target the preservation and protection of cultural heritage need to ensure risk management measures are in place.

4.6.2 Management Measures

Avoidance: Avoid significant adverse impacts to Cultural Heritage through alternative project siting and design. The impacts on Cultural Heritage resulting from project activities, including mitigating measures, may not contravene the national legislation, or its obligations under relevant international treaties and agreements.

Mitigation: Where potential adverse impacts are unavoidable, appropriate mitigation measures will be identified and incorporated as an integral part of the social and environmental assessment process. Where potential adverse impacts may be significant, a Cultural Heritage Management Plan should be developed as part of the Environmental and Social Management Plan (ESMP).

Use of experts: For projects with potential adverse impacts, qualified and experienced independent experts will assess the project's potential impacts on Cultural Heritage using, among other methodologies, field-based surveys and involving meaningful, effective, and informed stakeholder consultations as part of social and environmental assessment process. Note that SFD has a Cultural Heritage unit.

Use of Cultural Heritage: Where a project proposes to utilize Cultural Heritage, including the knowledge, innovations, or practices of local communities, affected communities will be informed of their rights, the scope and nature of the proposed development, and the potential consequences of such development. The project will not proceed without meaningful, effective participation of affected communities and unless (i) good faith negotiations with affected communities result in a documented outcome, and (ii) the Project provides for fair and equitable sharing of benefits from any commercialization of such knowledge, innovation, or practice, consistent with the affected community's customs and traditions. For Projects that propose to utilize Cultural Heritage of indigenous peoples, the requirements of Standard 6: Indigenous Peoples apply.

Chance find procedures: When the social and environmental assessment process determines that Cultural Heritage is expected to be found in the project area, chance find procedures will be included in the ESMP. Chance finds will not be disturbed until an assessment by a competent specialist is made and actions consistent with these requirements are identified.

Conditions for removal: The project will not remove any Cultural Heritage unless the following conditions are met: (i) no alternatives are available; (ii) the overall benefits of the Project substantially outweigh the anticipated Cultural Heritage loss from removal; and (iii) any removal employs best available techniques and is conducted in accordance with relevant provisions of national and/or local laws, regulations, and protected area management plans and national obligations under international laws.

4.7 Pollution Prevention and Resource Efficiency

4.7.1 Activities That May Result in Pollution and Resource Efficiency Impacts and Risks

The project will support the construction and/or rehabilitation of pit latrines, provide agriculture inputs that may include pesticides, support small health care centers infrastructure or services, cleaning up public spaces that may include municipal solid waste, and sewage that may include hazardous/human excreta and waste.

Pit latrines may consist of a pit—circular, rectangular, or square—dug into the ground and covered with a concrete slab or floor with a hole through which excreta falls. Unimproved pit latrines are those without slabs or platforms. In the latter there are risks of groundwater contamination. Additionally, the project will intervene by providing small scale farmers with agriculture inputs, that may involve pesticides. Other activities may include the improvement of health care services through support to small health care center and cleaning of public spaces including municipal solid waste.

In relation to pit latrines, there are ecological health impacts that may be associated with microbiological and chemical contamination of groundwater due to use of latrines. In Yemen, the main drinking water sources are extracted from groundwater (in addition to rainwater harvesting). A concern is that pit latrines, that generally lack a physical barrier, such as concrete, between stored excreta and soil and/or groundwater. Contaminants from pit-latrines excreta may potentially leach into groundwater, thereby threatening human health through well-water contamination.

Agriculture related interventions which include the use of pesticides trigger both environmental, health and occupational health and safety concerns. Runoff waters from agriculture may contaminate local drinking water sources, such as streams, wells, other leading to potential disease downstream. Project workers and small-scale farmers handling pesticides are also exposed to health hazards.

Support to small health care centers may include rehabilitation of sewage systems that may consequently involve hazardous waste water.

Cleaning up of public spaces may involve the handling, disposal and transport of municipal solid waste.

Waste may also be generated during construction and implementation activities.

4.7.2 Management Measures

Pollution prevention: Sub-projects will avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances.

Pollution prevention and control technologies and practices consistent with international good practice are applied during the project life cycle. The technologies and practices applied will be tailored to the hazards and risks associated with the nature of the Project.

Ambient considerations: To address adverse impacts on existing ambient conditions (such as air, surface water, groundwater, and soils), a number of factors will be considered, including the finite assimilative capacity of the environment, existing and planned land use, existing ambient conditions, the Project's proximity to ecologically sensitive or protected areas, the potential for cumulative impacts with uncertain and irreversible consequences, and strategies for avoiding and minimizing the release of pollutants.

Wastes: Sub-projects will avoid the generation of hazardous and non-hazardous waste materials. Where waste generation cannot be avoided, Projects will reduce the generation of waste, and recover and reuse waste in a manner that is safe for human health and the environment. Where waste cannot be recovered or reused, it will be treated, destroyed, or disposed of in an environmentally sound manner that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material. If the generated waste is considered hazardous, reasonable alternatives for its environmentally sound disposal will be adopted while adhering to the limitations applicable to its transboundary movement. When hazardous waste disposal is conducted by third parties, UNDP will ensure the use of contractors that are reputable and legitimate enterprises licensed by the relevant government regulatory agencies and that chain of custody documentation to the final destination is obtained.

Hazardous materials: Projects will avoid or, when avoidance is not feasible, minimize and control release of hazardous materials resulting from their production, transportation, handling, storage and use. Where avoidance is not possible, the health risks, including potential differentiated effects on men, women and children, of the potential use of hazardous materials will be addressed in the social and environmental assessment. Projects will consider the use of less hazardous substitutes for such chemicals and materials and will avoid the manufacture, trade, and use of chemicals

and hazardous materials subject to international bans or phase-outs due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential for depletion of the ozone layer.

Pesticide use and management: While pesticide use is not anticipated, sub- projects that may involve pest management activities, integrated pest management approaches will be applied and aim to reduce reliance on synthetic chemical pesticides. The integrated pest/vector management programme will entail coordinated use of pest and environmental information along with available pest/ vector control methods, including cultural practices, biological, genetic and, as a last resort, chemical means to prevent unacceptable levels of pest damage. When pest management activities include the use of pesticides, pesticides that are low in human toxicity, known to be effective against the target species, and have minimal effects on non-target species and the environment will be selected. The health and environmental risks associated with pest management should be minimized with support, as needed, to institutional capacity development, to help regulate and monitor the distribution and use of pesticides and enhance the application of integrated pest management.

Projects will not use products that fall in Classes Ia (extremely hazardous) and Ib (highly hazardous) of the World Health Organization Recommended Classification of Pesticides by Hazard. WHO Class II (moderately hazardous) pesticides will not be used if the relevant Responsible Party lacks restrictions on distribution and use of these chemicals or facilities to handle, store, apply and dispose of these products properly, or if they are likely to be accessible to personnel without proper training and equipment. Pesticides will be handled, stored, applied and disposed of in accordance with international good practice such as the FAO International Code of Conduct on the Distribution and Use of Pesticides.

5 Procedures to Address Social and Environmental Impacts

5.1 Sub-Project Screening and Classification Requirements

The ECRP will support a series of sub-projects over the course of its implementation. The type of sub-projects are described in Section 2 of this ESMF. Each sub-project will be screened for social and environmental risks (including OHS risks) and impacts applying PWP and SFD screening tools. Screening and classification will be completed prior to approval of sub-projects and signing of the Financial Agreement. The screening of sub-projects will also be updated if there are any significant changes in the sub-project's design or context that may materially change its social and environmental risk profile.

Sub-project screening and categorization should be conducted at the earliest stage of design when sufficient information is available for this purpose. Based on the screening, the sub-project is categorized according to the degree of potential social and environmental risks and impacts. In some cases, applicability of specific SES requirements will need to be determined through additional scoping, assessment, or management review. The screening process results in one of the following three categories for the proposed sub-project

- Low Risk: Projects that include activities with minimal or no risks of adverse social or environmental impacts. Further assessment of potential adverse social and environmental risks and impacts is not required.
- Moderate Risk: Projects that include activities with potential adverse social and environmental risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation/control measures and stakeholder engagement during Project implementation. Moderate Risk Projects may require limited social and environmental assessment and review to determine how the potential impacts identified in the screening will be avoided or when avoidance is not possible, minimized, mitigated and managed. A site-specific Environmental and Social Management Plan (scaled to nature of the risks) should be in place to ensure risks are managed.
- High Risk: Projects that include activities with potential significant and/or irreversible adverse social and environmental risks and impacts (including OHS), or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process. High Risk activities may involve significant impacts on physical, biological, socioeconomic, or cultural resources. Further impact assessment is required and an Environmental and Social Management Plan will be in place. High Risk Projects require tight control measures, closer monitoring, enhanced internal and external support.

Note that High Risk sub-projects will be excluded from Yemen ECRP funding. If high level risks are identified during implementation, Senior management of the Responsible Party and UNDP Project Manager will be notified immediately and relevant activities will be halted until management measures put in place to reduce the levels of risk.

Screening results inform final appraisal and sub-project approval.

An initial gap analysis shows that PWP and SFD screening processes are generally aligned with SES requirements, as described below. However, a more detailed gap analysis will be conducted and UNDP together with the World Bank will work with PWP and SFD to update their screening processes as needed to address gaps and also respond to lessons learned.

5.1.1 PWP Sub-projects

The procedure followed by PWP for undertaking screening and classification of subprojects is articulated in the PWP ESMF (see Annex 9). An Environmental and Social Impact Assessment Checklist is applied for sub-projects related to schools, health units/centers, rainwater harvesting reservoirs, sanitation, and rural water projects. The screening results in one of the following three determinations and is signed by the PWP engineer and PWP environmental specialist:

- Determination of no adverse impacts
- Determination that there may be adverse impacts and further analysis is required
- Determination of potential adverse impacts and all mitigation measures have been included in the design and contract conditions.

The first screening is undertaken during application of selection criteria. Those that do not meet criteria for improvement in environmental conditions will be rejected at the outset.

Sub-projects will then be divided into two groups: those that do not have any significant negative impacts (Low Risk) and those that may have some impacts (Moderate Risk). PWP does not engage in High Risk projects under the ECRP.

Screening results and classification inform final appraisal and approval of a sub-project. Sub-projects will be grouped into annual and/or quarterly investment programs to be submitted to the PWP Internal Management Committee for approval. Social and environmental screening results will be included in the submission. Screening results and ESMFs will also be recorded in the MIS.

5.1.2 SFD Sub-projects

The procedure followed by SFD for undertaking screening and classification of subprojects is articulated in the SFD ESMF (see Annex 10). SFD undertakes screening of the subproject proposals and classifies subprojects into Class A, B, and C, similar to the World Bank categorization and comparable to UNDP's High, Moderate, Low respectively. The classification is based on the significance of impacts which depend on the type, location, sensitivity, and scale of the subproject and the nature and magnitude of its potential environmental impacts. Accordingly, Category C subprojects (Low Risk) are those which are known to have no adverse environmental and social impacts and accordingly will not require any further assessment or follow-up. Category B subprojects (Moderate Risk) are those that are likely to have limited adverse environmental and social impacts that are temporary and/or site specific and can be reduced/avoided/mitigated with the implementation of appropriate mitigation measures, and these subprojects would require a scoping to be undertaken and a limited site specific Environmental and Social Management Plan is prepared as needed. Category A (High Risk) will be excluded from funding.

At the proposal stage, environmental and social responsiveness criteria are applied as well as an occupational hazard assessment. This is done by using the formats prepared for each type of intervention of class B subprojects (see SFD ESMF, Annex 9). The format includes decisive questions to examine the responsiveness of the proposal to the environmental and social issues. The answers to the questions are either "Yes" or "No". If the answer to any of the questions is "No", then the proposal is dropped or location is changed to ensure full responsiveness to environmental and social issues.

If the sub-project involves more than one type of activity, all relevant responsive forms should be completed.

At the design stage, a checklist of expected environmental and social impacts to be addressed is completed. This is an important stage as it will pave the way for the implementation and operation stages. All the expected environmental and social impacts will be identified at this stage and the mitigation measures will be designed and incorporated in the subproject design and tender documents, particularly, in the BQ so that it becomes obligatory. The checklist contains questions about the expected environmental and social mitigation measures to be included in the project documents for each type of intervention and the answer will be "Yes" or "No". If the answer is "No", then the consultant will need to justify this in the design report, and also include the completed checklist as an annex to the design report. Annex 3

of SFD's ESMF gives the checklist of the environmental and social issues that will need to be addressed at the Design Stage for SFD interventions.

If the sub-project involves more than one type of activity, all relevant checklists should be completed.

Annex 2 shows summary of project activities, risks and measurement measures for both Responsible Parties (SFD and PWP)

5.2 Site-Specific Assessment and Management Requirements

The targeted and site-specific assessments and management plans will be undertaken for all Moderate Risk (Cat B) sub-projects once project activities/sub-projects and sites are identified. The assessment(s) will be conducted in a manner consistent with national regulations, PWP or SFD operating procedures, the UNDP SES, and the World Bank's Environmental and Social Safeguards Policies and lead to the development of appropriately scaled management measures and plans to address the identified risks and impacts. For projects with easily identified risk management measures, a simplified ESMP can be developed.

The UNDP SES and SESP as well as the World Bank Safeguards Policy on 'Environmental Assessment' require that in all cases relevant social and environmental assessments and adoption of appropriate mitigation and management measures be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts. An indicative outline for an Environmental and Social Management Plan is provided in Annex 4. All site-specific assessments and management plans will be **cleared by World Bank and UNDP** and recorded in the MIS. In cases where similar activities are being conducted in a particular region, these activities may be grouped and covered under one site-specific ESMP. All ESMPs will be available upon request.

6 Institutional Arrangements and Capacity Building

6.1 General Management Structure and Responsibilities

6.1.1 World Bank

The YECRP is funded by the World Bank. A World Bank senior management task team has been established to oversee and make decisions about remedies in connection with the UNDP-implemented activities. In particular, the task team's functions/responsibilities consist of: (a) reviewing periodic financial and progress and results reports measured by targets and benchmarks agreed at the time of project approval; (b) applying the agreed process for dealing with serious issues, including significant social and environmental issues; (c) reviewing progress reports on actions taken to address a serious situation and results obtained, including details of any recovery of funds or write-off of losses; and (d) exercising remedies of suspension and termination in accordance with the provision of the legal agreement, if necessary (see World Bank document PAD 1797).

The World Bank is also engaged in the Biannual Review Meetings (see Section 6.1.2) and conducts Technical Review Missions.

6.1.2 Project Board (Biannual Review Meetings)

The Project Board (UNDP, World Bank, PWP, SFD) has oversight and advisory authority, representing the highest body for coordination, strategic guidance, oversight and quality assurance. The body facilitates collaboration between UNDP, the two responsible parties (PWP and SFD), the World Bank, and other stakeholders for the implementation of the Project. The Project Board reviews and endorses the Annual Work Plans (AWPs), provides strategic direction and oversight, reviews implementation progress, and reviews narrative and financial progress reports. The Project Board will be convened by UNDP and meet at least on a 6-monthly basis. It will coincide with the timing of World Bank technical review missions.

A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.

6.1.3 UNDP

UNDP will be responsible for overseeing the implementation and compliance with the ESMF, working closely with PWP and SFD. The ESMF and developed management plans will be part of any tender documentation.

UNDP will be responsible for the revision or updates of this document during the course of project, in consultation with PWP, SFD and the World Bank.

Project Management Team

The Project Management Team ensures effective implementation of activities on the ground, risk mitigation, and timely delivery of the results. The team has geographic presence in both Sana'a and Aden to ensure inclusion and to minimize political sensitivities.

The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the Project Document to the required standard of quality and within the specified constraints of time and cost. The Project Manager is responsible for overseeing implementation of the ESMF and required environmental and social risk management actions.

The Project Manager is supported by a team that includes National Coordinators, an M&E Specialist, Grievance and Communication Officer. A Management Information System is in final stages of development to support project management. It is overseen by the UNDP Programme Team on Economic Resilience and Recovery which has the responsibility of ensuring technical/substantive quality assurance as well as on other aspects such as finance, HR, audit, and M&E (pls see section below). The Project Management Team is also supported by experts in UNDP Headquarters and Regional Hubs, including SES expertise.

The project safeguard team including an International Safeguards Specialist, National SES and National OHS experts will be responsible for enhancing the capacity of UNDP and Responsible Parties to improve social, environmental and occupational health standards and services, contributing to improved decision making and to capitalize on potential opportunities while ensuring that adverse social and environmental risks are avoided, minimized, mitigated and managed.

Project Oversight and Assurance

The 'project assurance' function of UNDP is to support the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. Furthermore, UNDP provides quality assurance for the project; ensures compliance with UNDP policies and procedures, including its Social and Environmental Standards and implementation of the requirements of this ESMF.

The oversight and quality assurance for ECRP is done by the UNDP ERR Programme Team, which oversees the UNDP Yemen programme portfolio focusing on livelihoods and service delivery. UNDP Headquarters will provide corporate oversight and management support including finance, human resources, audit and investigations.

6.1.4 Responsible Parties

During operations the Responsible Parties will be accountable for implementation of the ESMF. Personnel working on the project have accountability for preventing or minimizing environmental and social impacts.

The Responsible Parties are directly accountable to UNDP in accordance with their Letter of Agreement. There are two responsible parties for the project: PWP and SFD. Responsible Parties include HQ offices, branch offices, site engineers, site supervisors, and workers that also play a role in implementation of the ESMF. Ultimately the Responsible Parties are responsible for ensuring implementation of the ESMF within their portfolio of sub-projects and ensuring all relevant documentation is available and reported to UNDP.

SFD will implement subcomponents 1.1 and 1.3 through its 185 staff working in Sana'a **headquarter and nine branch offices** across Yemen. PWP will implement subcomponent 1.2 through its 53 staff in Sana'a headquarters and nine regional offices.

The top management of the Responsible Parties is ultimately responsible for implementation of the ESMF within all sub-projects that are part of the ECRP.

The top management shall demonstrate its commitment by: ensuring the availability of resources essential to establish, implement, maintain and improve implementation of the ESMF; defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective ESMF implementation.

Responsible Parties shall be responsible to develop, implement and monitor contractors.

Environmental and social management duties shall be specifically assigned to certain positions such as **site engineer** (Responsible Parties) and **site manager** (contractors). They shall have social and environmental risk management training and shall have direct access and reporting channels to most senior management level. Some of the duties of the site engineer/manager include:

- organization and conduct of training programmes, including induction training for all workers on the site;
- organization of information to be passed from management to workers, including those of subcontractors;
- provision and implementation of environmental and social management measures, including occupational health and safety measures;
- Investigation and review of the circumstances and causes of environmental and social risks so as to advise to the senior management on preventive measures; and participation in pre-site planning.

Good planning and organization at each work site and the assignment of clear responsibility to the **site supervisors** is fundamental to risk management and safety in construction. "Supervisor" here means the first level of supervision, which on site is variously termed as "foreman", "charge hand", and so on. Each supervisor requires the direct support of site management and shall seek to assure within his or her field of competence that:

- working conditions and equipment are safe;
- workplace safety and risk management measures are regularly inspected;
- potential environmental and social risks are managed effectively and responded to quickly if unexpected issues arise;
- workers have been adequately trained for the job they are expected to do;
- social and environmental management measures, including workplace safety measures, are implemented;
- the best solutions are adopted using available resources and skills;
- necessary personal protective equipment is available and used.

Making the work site safe will require regular inspections and provision of the means for taking remedial measures. The training of **workers** enables them to recognize the risks involved and how they can overcome them. Workers shall be shown the safe way of getting a job done. The workers shall be involved directly, such as through the following:

- "Tool-Box Briefing", a five- to ten-minute session with the supervisor just prior to starting a task gives the workers and the supervisor a chance to talk about social and environmental risks, including safety problems, likely to be encountered and potential solutions to those problems. This activity is simple to implement and it may prevent a serious accident or issue;
- "Safety Check", a check by workers that the work environment is safe before starting an operation may allow them to take remedial action to correct an unsafe situation that could later endanger them, another worker, or surrounding community.

6.1.5 Third Party Monitors

The Third-Party Monitoring Agent (TPMA) reports directly to the UNDP Project Manager, working in close collaboration with the project M&E Specialist and with the Responsible Parties for project implementation. The TPMA supports the UNDP project management team to provide the Project Board and other stakeholders with better means for learning from field experience, improving service delivery to community, planning and allocating resources, and demonstrating results. The TPMA is expected to provide UNDP with quarterly reports.

Reporting templates/checklists will incorporate social and environmental risk monitoring, including monitoring implementation of agreed management measures.

6.2 Capacity Building and Training

Responsible Parties have the responsibility for ensuring systems are in place so that relevant employees, contractors and other workers are aware of the environmental and social requirements for project implementation, including the ESMF. Project stakeholders have noted that capacity building and training needs to be a priority.

All project personnel will attend an initial induction training of relevant ESMF requirements, including health, safety, environment and cultural heritage requirements.

Training will be conducted on a sustained basis. The following capacity building and training programmes will be in place:

- Capacity building of headquarters and branch offices senior management (led by UNDP): To impart awareness on essential regulatory and other requirements and elements of the ESMF, to help understand the importance of social and environmental management from design stage through implementation. It is essential that the trained manpower shall further carry out training and capacity building in their respective organisations by acting as resource persons for such trainings.
- Capacity building of site engineers/site supervisors on ESMF requirements (led by Responsible Parties, with UNDP support): To create awareness on specific social and environmental risks and management measures for their control as applicable to the project activities and to build their capacity to carry out monitoring and supervision activities in the field.
- Training and awareness of workers including contractual workers and local labour (led by Responsible Parties): All workers engaged in any activity with the potential to cause serious social and/or environmental harm will receive task specific training to ensure implementation of the site-specific management measures.

Training procedures shall take into account differing levels of responsibility, ability, language skills, literacy and risk exposure.

The Responsible Parties shall ensure that persons under their control performing tasks related to environmental and social risk management are competent on the basis of appropriate education, training or experience, and shall retain associated records. Each sub-project should include a budget line for training to ensure capacities and skills of workers to implement risk management measures.

7 Stakeholder Engagement and Information Disclosure

7.1 Principles for Meaningful, Effective and Informed Stakeholder Engagement

The ECRP and its Responsible Parties will ensure meaningful, effective and informed stakeholder engagement in the design and implementation of all sub-projects. Civil society actors and organizations, local communities and other key stakeholders are crucial partners for project delivery and advancing sustainable development.

Stakeholder engagement supports the development of strong, constructive, and responsive relationships that are critical for sound project design and implementation. Effective stakeholder engagement enhances project acceptance and ownership and strengthens the social and environmental sustainability and benefits of supported interventions. It is both a goal in itself – upholding the rights of citizens and others to participate in decisions that may affect them – as well as an effective means for achieving project outcomes, including those related to democratic governance, protecting the environment, promoting respect for human rights, and preventing and resolving conflict.

Meaningful, effective and informed stakeholder engagement will possess the following characteristics:

- Free of external manipulation, interference, coercion, and intimidation.
- Gender and age-inclusive and responsive.
- Culturally appropriate and tailored to the language preferences and decision-making processes of each identified stakeholder group, including disadvantaged or marginalized groups.
- Based on prior and timely disclosure of accessible, understandable, relevant and adequate information, including draft documents and plans.
- Initiated early in the project design process, continued iteratively throughout the project cycle, and adjusted as risks and impacts arise.
- Addresses social and environmental risks and adverse impacts, and the proposed measures and actions to address these.
- Seeks to empower stakeholders, particularly marginalized groups, and enable the incorporation of all relevant views of affected people and other stakeholders into decision-making processes, such as project goals and design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.
- Documented and reported in accessible form to participants, in particular the measures taken to avoid or minimize risks to and adverse impacts on the project stakeholders.

- Consistent with States' duties and obligations under international law.

7.2 Information Disclosure

Information disclosure refers to the provision of timely, accessible information regarding the project and its potential social and environmental impacts to stakeholders in order to facilitate their meaningful, effective and informed participation in project design and implementation. Stakeholders require access to relevant project and sub-project information in order to understand potential project-related opportunities and risks and to engage in design and implementation.

In addition to have access to general project information, stakeholders need access to screening reports, draft and final assessments and management plans. This information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders. These elements of effective disclosure are briefly elaborated below:

- Timely disclosure: information on potential project-related social and environmental impacts and mitigation/management measures should be provided in advance of decision-making. Draft screenings, assessments and management plans should be provided in advance as part of the stakeholder consultation process. In all cases, draft and final screenings, assessments and management plans must be disclosed and consulted on prior to implementation of activities that may give rise to potential adverse social and environmental impacts.
- Accessible information: Stakeholders need to be able to readily access information regarding assessments and management plans. While local regulatory requirements might mandate availability of environmental assessments in government offices, this may not be sufficient to ensure that local stakeholders can access the information. Other means of dissemination may need to be considered, such as posting on websites, public meetings, local councils or organizations, newsprint, television and radio reporting, flyers, local displays, direct mail.
- Appropriate form and language: Information needs to be in a form and language that is readily understandable and tailored to the target stakeholder group. Summary information from assessments and management plans may need to be translated and presented by various means (e.g. written, verbal). Level of technical detail, local languages and dialects, levels of literacy, roles of women and men, and local methods of disseminating information are important considerations in devising appropriate forms of disclosure. A general solicitation of feedback on project documents may not be an appropriate form of information sharing and solicitation of input. Rather, the material may need to be presented in a contextual manner, such as the presentation of options with key information and questions designed to solicit feedback. Appropriate forms of proactive disclosure should be utilized beyond web posting of information. These may include radio broadcasts, brochures, community postings, SMS, oral presentations, etc. Also, it is vital to ensure that appropriate communication methods are devised to reach potentially marginalized and disadvantaged groups.

The stakeholder engagement process is an excellent moment to solicit from stakeholders the types of information they want and need and the most appropriate formats and languages and mechanisms for dissemination.

The SES contain requirements for the disclosure of screening reports; draft and final social and environmental assessments and management plans; and any required social and environmental monitoring reports. For further detail on UNDP SES stakeholder engagement and information disclosure requirements please refer to the UNDP guidance [UNDP Guidance on Stakeholder Engagement](#) -Annex 3.

7.3 ECRP Systems in Place for Stakeholder Engagement and Information Disclosure

Meaningful stakeholder engagement is required by PWP and SFD for participation in project intervention by communities and individuals. The Standard Operating Procedures of both Responsible Parties include procedures for community and stakeholder engagement within their project cycles as a key component of project identification, design and implementation, and described a key component of the longer-term sustainability strategy for operations and maintenance.

Community committees are set up at the onset of project at the identification and design phase and play a key role in supporting field teams, facilitating implementation and in the sustainability of community assets that are built through subprojects, after project closure. To sustain such community participation and engagement, subprojects include provisions to set up such community committees and provide resources for training whenever required.

The principles for sub-project cycle identification, development, and management specify that communities are involved from the outset in the selection and design phases, through project closure.

To engage communities and reduce potential risks of conflicts between stakeholders over sub-projects a careful selection criterion was developed by UNDP and Responsible Parties. While laying out an objective set of criteria, and national data-based distress index, communities are also called upon to participate at the municipal level to engage in prioritization of community projects and identification of beneficiaries.

Subprojects must meet the basic needs according to poverty and service needs provided in national indicators. Priority is given to poorer communities. In addition to data provided through national indicators, community groups are consulted to identify who will benefit from sub-projects, in this way stakeholders themselves are involved in the selection and decision of who benefits from sub-projects.

In addition, some procedures include financial contribution by beneficiaries, proportionate to their means. This contribution is seen as a necessary component for stakeholder engagement, providing a guarantee to future sustainability through operation and maintenance of subprojects and aims to enhance the firm commitment to the active participation of beneficiaries.

Both institutions include gender mainstreaming provisions as a means to ensuring equal participation of all stakeholders in subprojects and provide opportunities to improve women's participation in decision-making as indicated in the above section on project impacts and risk, gender section.

Furthermore, in accordance with the ECRP approach to strengthening livelihoods and local economics, in sub-projects that use community contracting, the procurement of civil works, construction materials, and the hiring of equipment, transport and skilled laborers, is done by the communities themselves.

The TPMA also helps ensure stakeholders have been duly consulted and monitors their level of satisfaction with the ECRP project including with the sub-project selection criteria. TPM surveys have verified implementation of planned interventions, adherence to agreed implementation procedures, quality of implemented interventions, beneficiaries and community satisfaction on various aspects of project interventions and its effects/impacts on targeted beneficiaries and communities. Women and men, youth are interviewed separately to enable meaningful participation by marginalized groups. An example provided by TPMA report (see TPMA Report from April-June 2018) shows that cash for work interventions were highly satisfactory to beneficiaries in various aspects including project existence (98.5 percent) and beneficiary selection (98 percent).

However, ESMF stakeholder consultations noted the need for strengthened and ongoing stakeholder engagement, bringing together the various stakeholders more regularly as true partners to help identify solutions to the challenges faced by the project. Stakeholder engagement will continue to be a priority of the project and project partners will continue to explore new and effective means to deliver on this commitment. Each sub-project should include a budget line for stakeholder engagement and training.

8 Grievance Redress Mechanism

8.1 Project-Level Grievance Mechanism

During the design, construction and implementation of any sub-project, a person or group of people may perceive or experience potential harm, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a Grievance Redress Mechanism has been included in the ESMF for this project.

The Grievance Redress Mechanism:

- a. provides a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;

- b. allows simple and streamlined access to the Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
- c. provides clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
- d. ensures equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
- e. provides a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
- f. enables continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.

The GRM will be gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, the disabled, youth and other potentially marginalized groups as appropriate to the Project. The GRM will not impede access to judicial or administrative remedies as may be relevant or applicable and will be readily accessible to all stakeholders at no cost and without retribution.

Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be communicated during the stakeholder engagement process and placed at prominent places for the information of the key stakeholders.

All complaints and/or grievances regarding social and environmental issues can be received either orally (to the field staff), by phone, in complaints box or in writing to the UNDP, PWP or SFD. A key part of the grievance redress mechanism is the requirement for the Project Management Team and construction contractor to maintain a register of complaints and/or grievances received at the respective project site offices, this includes grievances from workers. The following information will be recorded:

- a. time, date and nature of enquiry, concern, complaints and/or grievances;
- b. type of communication (e.g. telephone, letter, personal contact);
- c. name, contact address and contact number;
- d. response and review undertaken as a result of the enquiry, concern, complaints and/or grievances; and
- e. actions taken and name of the person taking action.

The project GRM is managed by PWP and SFD, who have a grievance mechanism in place. UNDP will work with the Responsible Parties to assess the effectiveness of existing GRM and work to address capacity, accessibility, transparency, gaps, etc. TPM reports and the ESMF stakeholder consultations both raise issues of a lack of awareness of affected-people of the GRM and how to access it. Therefore, particular efforts will be made to strengthen ongoing communications and outreach on the GRM.

8.2 UNDP Accountability Mechanism

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access [UNDP's Accountability Mechanism](#), with both compliance and grievance functions. The [Social and Environmental Compliance Unit](#) investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

The [Stakeholder Response Mechanism](#) offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Responsible Parties to address and resolve the concerns. Visit www.undp.org/secu-srm for more details.

8.3 World Bank Inspection Panel

The World Bank's Inspection Panel is also available to affected people. The Inspection Panel is an independent complaints mechanism for people and communities who believe that they have been, or are likely to be, adversely affected by a World Bank-funded project. The Board of Executive Directors created the Inspection Panel in 1993 to ensure that people have access to an independent body to express their concerns and seek recourse.

The Panel is an impartial fact-finding body, independent from the World Bank management and staff, reporting directly to the Board. The Inspection Panel process aims to promote accountability at the World Bank, give affected people a greater voice in activities supported by the World Bank that affect their rights and interests, and foster redress when warranted. (www.inspectionpanel.org)

9 Monitoring, Reporting and Evaluation of ESMF Implementation

The ESMF and its procedures are to be reviewed regularly and on an ongoing basis by UNDP staff, PWP and SFD. The objective is to update the ESMF to reflect knowledge gained during the course of project delivery/construction and to reflect new knowledge.

Amendments will be made to the ESMF if:

- There are relevant changes to social and environmental conditions or generally accepted management practices; or
- New or previously unidentified social and environmental risks are identified; or
- Information from the project monitoring and surveillance methods indicate that current control measures require amendment to be effective; or
- There are changes to legislation that are relevant to the project; or
- There is a request made by a relevant regulatory authority.

When an update is made, all site personnel are to be made aware of the revision as soon as possible, e.g. through a tool box meeting or written notification.

The Project Manager will monitor the overall implementation of the ESMF, most particularly the:

- i. timely preparation of environmental and social screening forms for all subprojects (list of subprojects by risk category by date)
- ii. timely preparation and clearance of subproject ESIA's and ESMPs, as needed (list of instruments with dates)
- iii. monitoring of ESMP implementation, including monitoring of mitigation measures and monitoring of contractors environmental and social performance (indicators)
- iv. training of project staff, implementing partners, and contractors (list of persons, dates and places)

The Project Manager will prepare:

- i. biannual reports summarizing monitoring results, to be included in the Project's Biannual Review Meetings
- ii. an annual evaluation of all environmental and social monitoring activities, which will be submitted to the World Bank as part of overall project implementation reporting

Monitoring and audit reports will be shared with the World Bank.

9.1 Management Information System (MIS)

Both PWP and SFD have a Management Information System in place to record project information and monitoring results. The MIS provides an important mechanism to track information on environmental and social safeguard implementation. A review will be conducted to identify opportunities to strengthen environmental and social safeguard elements in the MIS.

9.2 Sub-Project Self-Monitoring and Reporting

For construction activities, the Responsible Party/site supervisor will be responsible for daily inspections (e.g. environmental inspections, Occupational Health & Safety) of the construction site.

The Responsible Parties will be responsible for the day-to-day compliance of the ESMF at the specific project site. The Responsible Parties will maintain and keep all administrative and social and environmental records which would include a log of complaints and incidents together with records of any measures taken to mitigate the cause of the complaints or incidents (see below sections on incident reporting and on complaints).

9.2.1 Social, environmental and OHS incident reporting

Any incidents, including non-conformances to the procedures of the ESMF, are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or significant social and/or environmental harm, the site supervisor/designated officer shall notify the Responsible Party senior management and ECRP Project Manager as soon as possible and no later than **48 hours**. UNDP will also ensure significant incidents are reported to the World Bank within 48 hours. The Responsible Party must cease work until remediation has been completed as per the approval of Project Manager.

9.2.2 Daily and weekly inspection checklists

A daily social and environmental checklist (including OHS issues) is to be completed for active work sites with moderate risks by the relevant site supervisor/designated officer and maintained within a register. A weekly social and environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the site supervisor or designated person. The completed checklist is to be forwarded to the site engineer for review and follow-up if any issues are identified.

9.2.3 Corrective Actions

Any non-conformances to the ESMF are to be noted in weekly social and environmental inspections and logged into the register. Depending on the severity of the non-conformance, the site supervisor/designated officer may specify a corrective action on the weekly site inspection report. The progress of all corrective actions will be tracked using the register. Any non-conformances and the issue of corrective actions are to be advised to Responsible Parties senior management and ECRP Project Manager.

9.2.4 Auditing and Review

A consultant will be recruited to conduct an annual environmental, social and occupational health compliance and performance audit by both PWP and SFD. The consultant is given a list of all subprojects, and he/she will select randomly the subprojects to be audited, which should include all sectors and programs, in different stages of subproject cycle including design, under implementation, and completed stages, and with different types/levels of risk. The audit will include both a desk audit/review and a field audit. Consequently, an audit report will be prepared by the consultant and presented to management. The executive summary of the audit report will be forwarded to the donors while the detailed report will be distributed to all Responsible Party branches and UNDP Project Manager for correcting deviations and lessons learning.

9.3 Sub-Project Third-Party Monitoring and Reporting

The TPMA is expected to provide an independent perspective and extend the reach of UNDP in the field. The TPMA will monitor activities of two identified responsible parties (SFD and PWP) financed by the project. The TPMA is expected to visit project sites quarterly based on a sampling methodology.

Monitoring of environmental and social risks and implementation of management measures will be included in Third Party Monitoring templates and reports.

9.4 Monitoring Plan

Table 3. Summary of ESMF Monitoring, Reporting and Evaluation Activities

Monitoring Activity	Purpose/Action	Frequency	Expected Action	Roles and Responsibilities
Annual evaluation	To ensure Project Board is updated on ESMF implementation, issues, and lessons learned.	Annually	Include reporting on ESMF implementation in documentation prepared for Biannual Review Meetings	ECRP Project Manager (informed by TPM reports, self-reporting of sub-projects, field visits)
Annual review and audit	Identify issues and lessons learned related to ESMF implementation to support overall project implementation	Annually	Hire consultant to conduct review and audit of ECRP portfolio, for both PWP and SFD	PWP, SFD, and UNDP
Biannual reports (for biannual review meetings)	To ensure Project Board is updated on ESMF implementation, issues, and lessons learned.	Biannually	Include reporting on ESMF implementation in documentation prepared for Biannual Review Meetings	ECRP Project Manager (informed by TPM reports, self-reporting of sub-projects, field visits)
Quarterly Monitoring	Qualitative and quantitative review of selection of projects, engaging with local stakeholders. Identification of any new social and environmental risks and monitoring of implementation of site-specific management plans.	Quarterly	Apply TPM methodology, to include consideration of social, environmental and occupational health risks and management	TPMA and UNDP project team
Field Visits	Conduct field visits to spot-check sub-projects and ensure effective implementation, including ESMF implementation	Periodic	Ensure risks are appropriately identified and managed. If new risks identified, screening and management plan to be updated.	UNDP Project Management Team
Learning	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP Project Management Team and UNDP Programme
Review and adapt activities and approach as necessary	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project	UNDP Project Management Team and UNDP Programme

			board and used to make course corrections.	
Project Progress Reports	As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included.	Annually, and at the end of the project (final report)	Incorporation of progress on risk management elements, including ESMF	UNDP Project Management Team
Site Inspections	To ensure early identification and resolution of potential risks	Daily and weekly	Completion of site inspections checklists (to include social, environmental and occupational hazards and risks)	Responsible Parties (Site Supervisors)

Annex 1. Yemen ECRP Revised SES Screening

Project Information	
1. Project Title	Yemen Emergency Crisis Response Project (ECRP)
2. Project Number	00097850
3. Location (Global/Region/Country)	Sana'a, Republic of Yemen

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
<i>Briefly describe in the space below how the Project mainstreams the human-rights based approach</i>
<p>The project upholds the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination based on gender, age, religion, political views or affiliation to parties to the current conflict, social or geographical origin, birth or other status. UNDP will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of the ECRP. The project also establishes a dedicated grievance mechanism and capacity to ensure that the duty-bearers are accountable to the rights-holders for the actions undertaken in the course of the project.</p>
<i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i>
<p>The project recognizes that in the midst of the current crisis in Yemen, women are adversely affected and at the same time asked to take on new and additional roles as heads of households or income-earners. The project will actively target women (at least 30%) to support their income-generation opportunities and contribute to the delivery of community service and livelihood assets through Cash for Work and Cash for Services, and through earmarked funding (accounting to 15% of the project budget) dedicated to address severe and acute malnutrition for pregnant and lactating women (and children) by providing cash assistance (mothers are the recipients) and facilitating the affected families' access to nutrition services.</p>
<i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i>
<p>An Environmental and Social Management Framework will be developed for the project. This will ensure that social and environmental sustainability standards are applied to help mitigate potentially high adverse environmental and social impacts in the selection, prioritization and implementation of subprojects at community level, which UNDP will also closely monitor any negative environmental and social impact and ensure compliance with the safeguards through Third Party Monitoring. See ESMF.</p>

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?	QUESTION 3: What is the level of significance of the potential social and environmental risks?			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i>
<p>There is a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals</p>	<p>I = 3 P = 4</p>	<p>Moderate</p>		<p>The conflict context may produce social tensions during project implementation, concerning prioritization of subprojects, locations, and selection of participants.</p> <p>Measures to be undertaken include a clear definition of targeting and selection criteria based on data provided by the UN Clusters; participatory preparation and implementation of subprojects by communities and relevant stakeholders; frequent communication with communities and local stakeholders; grievance redress/ stakeholder response mechanism procedures to ensure timely handling of grievance redress; and public disclosure of the reasons for the rejection of subprojects, if any, to increase transparency. In addition, the project will have a communication strategy which will include consultations with government counterparts, citizen engagement and public outreach. The project is implemented by SFD and PWP which are operating relatively independently from the government.</p>

				CO will monitor the situation closely and on a systematic manner in order to make sure the project achieves its goals within the agreed timeline
The Project may potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.	I= 3 P=2	Moderate		<p>The ECRP has mainstreamed gender considerations through its project approach, addressing gender equality from project identification, site selection, management and oversight.</p> <p>The project has actively targeted women (at least 30%) to support their income-generation opportunities and contribute to the delivery of community service and livelihood assets through Cash for Work and Cash for Services, and through earmarked funding (accounting to 15% of the project budget) dedicated to address severe and acute malnutrition for pregnant and lactating women (and children) by providing cash assistance (mothers are the recipients) and facilitating the affected families' access to nutrition services.</p>
<p>Small scale farming and livestock may cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services (<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>)</p> <p>Activities will include: Watershed Management/Water Channels, Rehabilitation of Farm Lands, Rehabilitation of Farm Irrigation Infrastructure, Agriculture Infrastructure, Agriculture Input Provision, Support to Livestock Producers. Livestock activities involve the creation of yards in addition to other.</p>	I=3 P=2	Moderate	<p>Although the projects are small scale in nature, the cumulative effects of providing support to communities may involve inadvertent impacts on ecosystems that can result in negative effect to ecosystem services provision and biodiversity.</p> <p>When further sub-project screening is conducted more information will be available as to the extent of the impacts and management measures required.</p>	<p>The ECRP applies a precautionary approach to the use, development, and management of natural habitats, the ecosystem services of such habitats, and living natural resources.</p> <p>As an integral part of the social and environmental assessment process, direct and indirect impacts on natural resources, biodiversity and ecosystem services in the Project's area of influence are identified and addressed. The assessment process will consider, inter alia (i) risks of habitat and species loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient loading, pollution, and (ii) differing values (e.g. social, cultural, economic) attached to</p>

				<p>biodiversity and ecosystem services by potentially affected communities. Potential cumulative and induced impacts will be assessed. Project-related impacts across potentially affected landscapes should be considered.</p> <p>Natural resources will be managed in a sustainable manner. This includes safeguarding biodiversity and the life-supporting capacity of air, water, and soil ecosystems. Sustainable management also ensures that people who are dependent on these resources are properly consulted, women and men have opportunities to equally participate in development, and benefits are shared equitably.</p>
<p>The Project involves the production and/or harvesting of fish populations or other aquatic species</p>	<p>I = 1 P = 3</p>	<p>Low</p>		<p>The project will target artisanal حرفيون fishermen using small boats with one off-board petrol engine, i.e. not used in deep waters and will not risk overfishing. The project will carefully monitor the activities of the fishermen during its implementation.</p> <p>Some of the fishermen will be equipped with fish finders, to help expedite the search of the fish and thus economize the use of fuel. As the targeted fishermen will be operating on small boats using traditional methods of fishing, there is low risk that the use of the fish finders will lead to over catching the fish. The project will also work with fishing associations responsible for ensuring that fishing protocols are in place and adhered to, to protect fish stocks and regulate seasonal controls on fishing. The project will be implemented in line with the Biodiversity Conservation and Sustainable NRM of the SES which includes fishing</p>

				<p>management. The concept of sustainable and responsible fishing will be promoted through this partnership. Through its direct support to small scale fishermen, the project will improve community livelihoods and training on quality and resource sustainability to include the reduction of wastage.</p>
<p>The Project involves extraction, diversion or containment of surface or ground water</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>	<p>The project rehabilitates existing water supply infrastructure at a small-scale and will not create new extraction points or new infrastructure for containment or diversion of water.</p>	<p>The project aims to rehabilitate or construct a total of 500,000 m³ of water supply (including water catchments, reservoirs and maintenance of clean water supply etc.), which are relatively small-scale.</p> <p>In case of pumping wells, a monitoring of water level is needed to control the pumping and avoid draw down beyond the recharge (water balance).</p> <p>Overall the associated risks are expected to be small scale and readily managed. Site-specific management plans will need to be in place.</p>
<p>The potential outcomes of the Project may be sensitive or vulnerable to potential impacts of climate change.</p> <p>Yemen has a predominantly semi-arid to arid climate and is highly vulnerable to climate change-related impacts such as drought, extreme flooding, changes of rainfall patterns, increased storm frequency/severity, sea level rise. Literature show that the main sectors under stress are: water resources, agriculture, and coastal zones. Water scarcity related to prolonged droughts, evaporation, drying up of wells, excessive rainfall (which produces flash flooding and can potentially wipe out crops) caused by rainfall variability are the key issues.</p> <p>The ECRP project activities related to agriculture (including</p>	<p>I = 3 P = 2</p>	<p>Moderate</p>		<p>Proposed subprojects will be screened and assessed for climate change-related risks and impacts. The ECRP will ensure that the status and adequacy of relevant climatic information is identified. If significant potential risks are identified, further scoping and assessment of vulnerability, potential impacts, and avoidance and mitigation measures, including consideration of alternatives to reduce potential risks, will be required. The climate change risk assessment may focus on :</p> <p>-The viability or longer-term sustainability of project outcomes due to potential climate change. This will involve the identification of components that are sensitive or vulnerable to emerging or</p>

<p>farming, livestock) and fisheries and water (irrigation, catchment, conservation), will be most sensitive and vulnerable to the impacts of climate change.</p> <p>Some project activities that aim to increase water availability, may inadvertently lead to depletion of groundwater resources or diversion of sources to some communities in detriment of others, if not properly managed based on appropriate climate risk information and management measures.</p>				<p>anticipated manifestations of climate change.</p> <p>-Risks that a project may increase exposure to climate change. Project components must be assessed for potential unintended or unforeseen increases in vulnerability to climate change.</p> <p>-Potential social, gender, and age risks, based on the differentiated impacts of climate change.</p>
<p>Elements of Project construction, operation, or decommissioning pose potential safety risks to local communities and workers.</p>	<p>I = 3 P = 3</p>	<p>Moderate</p>	<p>The project works through SFD and PWP who will be implementing the infrastructure rehabilitation projects (small-scale) according to their Operational Manuals vetted by UNDP, which includes safety standards. UNDP will carefully monitor the implementation through TPM and regular consultations with the partners.</p>	<p>Occupational Health and Safety risks are a priority for the ECRP project. An OHS Framework and Toolkit has been developed and should be applied at the sub-project level. This complements measures already applied by PWP and SFD through implementation of their operating manuals. See OHS Framework for further details.</p> <p>Potential impacts may include insufficient safety standards used in construction/ rehabilitation of small-scale infrastructure; dust and noise during construction/ rehabilitation; and/or insufficient removal of construction waste after project completion. There may also be safety issues related to the ongoing conflict and security measures in place.</p> <p>OHS risks will be monitored carefully and all incidents reported.</p>
<p>Failure of structural elements of the Project poses risks to communities and workers (e.g. collapse of buildings or infrastructure)</p>	<p>I = 4 P = 2</p>	<p>Moderate</p>	<p>.</p>	<p>The project works through SFD and PWP who will be implementing the infrastructure rehabilitation projects (small-scale) according to their operating manuals and the</p>

				<p>ESMF, which includes safety standards. UNDP will carefully monitor the implementation through TPM and regular consultations with the partners.</p> <p>The project aims to support the rehabilitation/reconstruction of community infrastructure (i.e. damaged classrooms, small-scale infrastructure for flood prevention etc.). These will be mitigated by the 20-years of experience of PWP in managing project impacts successfully according to their Operational Manual (endorsed/approved by UNDP BMS) that lay out clear criteria for small-scale infrastructure rehabilitation to identify, eliminate and address potential safety risks and UNDP field monitoring including TPM.</p>
<p>Potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)</p>	<p>I = 4 P = 2</p>	<p>Moderate</p>		<p>Appropriate management measures have been put in place. A detailed risk categorization was developed for the purpose of identifying sub-project level risks to enable halting any salient high-risk projects from further implementation until adequate management measures are put in place. Additionally, a specialized consultant was hired to develop management plans, screening checklists, and ensure high frequency of field monitoring. Additionally, support to the Responsible Parties has been reinforced by training and monitoring and capacity assessments. The results the latter measures taken by UNDP are included in a detailed report "OHS Framework". The report highlights both the stated results and management measures underway.</p>
<p>Potential for increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections).</p>	<p>I = 2 P = 1</p>	<p>Low</p>		<p>In cases where there may be pollution, a site-specific pollution prevention plan</p>

<p>The project will support the construction and/or rehabilitation of pit latrines, sewage systems, provide agriculture inputs that may include pesticides, support small health care centers infrastructure or services, cleaning up public spaces that may include municipal solid waste, and sewage that may include hazardous/human excreta and waste.</p>				<p>should be put in place and monitored.</p> <p>Sub-projects will avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances.</p> <p>Pollution prevention and control technologies and practices consistent with international good practice are applied during the project life cycle. The technologies and practices applied will be tailored to the hazards and risks associated with the nature of the Project.</p>
<p>Potential for activities that result in localized pollution.</p> <p>The project will support the construction and/or rehabilitation of pit latrines, sewage systems, provide agriculture inputs, support small health care centers infrastructure or services, cleaning up public spaces that may include municipal solid waste, and sewage that may include hazardous/human excreta and waste. Minimal and localized air, water, and noise pollution possible.</p>	<p>I = 2 P = 1</p>	<p>Low</p>		<p>In cases where there may be pollution, a site-specific pollution prevention plan should be put in place and monitored.</p> <p>Sub-projects will avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances.</p> <p>Pollution prevention and control technologies and practices consistent with international good practice are applied during the project life cycle. The technologies and practices applied will be tailored to the hazards and risks associated with the nature of the Project.</p>
<p>Sub-project may involve the application of pesticides that may have a negative effect on</p>	<p>I = 2 P = 1</p>	<p>Low</p>		<p><u>Pesticide use and management:</u> For Projects involving pest management activities, the</p>

<p>the environment or human health.</p>			<p>social and environmental assessment will ascertain that any pest and/or vector management activities related to the ECRP are based on integrated pest management approaches and aim to reduce reliance on synthetic chemical pesticides. The integrated pest/vector management programme will entail coordinated use of pest and environmental information along with available pest/ vector control methods, including cultural practices, biological, genetic and, as a last resort, chemical means to prevent unacceptable levels of pest damage. When pest management activities include the use of pesticides, pesticides that are low in human toxicity, known to be effective against the target species, and have minimal effects on non-target species and the environment will be selected. The health and environmental risks associated with pest management should be minimized with support, as needed, to institutional capacity development, to help regulate and monitor the distribution and use of pesticides and enhance the application of integrated pest management.</p> <p>The ECRP will not use products that fall in Classes Ia (extremely hazardous) and Ib (highly hazardous) of the World Health Organization Recommended Classification of Pesticides by Hazard. WHO Class II (moderately hazardous) pesticides will not be used if the relevant Responsible Party lacks restrictions on distribution and use of these chemicals or facilities to handle, store, apply and dispose of these products properly, or if they are likely to be accessible to personnel without proper training and equipment. Pesticides will be handled, stored, applied and</p>
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				disposed of in accordance with international good practice such as the FAO International Code of Conduct on the Distribution and Use of Pesticides.
<p>The ECRP may result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices).</p> <p>As the project conducts small scale infrastructure activities related to community works such as road paving, community reservoirs and piping, and repairing of school buildings in addition to others these project activities, although may not target the rehabilitation of Cultural Sites directly, they may be located in the vicinity of cultural heritage sites and consequently produce unintended negative effects on such sites.</p>	<p>I = 3</p> <p>P = 3</p>	<p>Moderate</p>		<p>The ECRP will avoid and/or mitigate any impacts on cultural heritage through alternative project siting and design. The impacts on Cultural Heritage resulting from project activities, including mitigating measures, may not contravene the national legislation, or its obligations under relevant international treaties and agreements.</p> <p>Where potential adverse impacts are unavoidable, appropriate mitigation measures will be identified and incorporated as an integral part of the social and environmental assessment process. Where potential adverse impacts may be significant, a Cultural Heritage Management Plan should be developed as part of the Environmental and Social Management Plan (ESMP).</p> <p>For projects with potential adverse impacts, qualified and experienced independent experts will assess the project's potential impacts on Cultural Heritage using, among other methodologies, field-based surveys and involving meaningful, effective, and informed stakeholder consultations as part of social and environmental assessment process.</p> <p>Note SFD has a Quality assurance system in place for Cultural Heritage interventions and a separate Cultural Heritage Unit.</p> <p>A number of specialized experts¹ lead and also provide</p>

¹ E. Ronald Lewcock - Professor of Architecture at Georgia Tech. Institute and Cambridge University.



				technical supervision for SFD's main conservation operations through direct on-site supervision or regular visits that take place on monthly, bi-monthly & semiannual basis. Additionally, the technical quality of SFD's interventions was positively acknowledged by a World Bank review mission undertaken by a Cultural Heritage expert.
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)		Comments	
	<i>Low Risk</i>	<input type="checkbox"/>		
	<i>Moderate Risk</i>	<input checked="" type="checkbox"/>	Given the need for further assessment and management measures at the sub-project level, an Environmental and Social Management Framework will be developed for the project.	
	<i>High Risk</i>	<input type="checkbox"/>		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
	Check all that apply		Comments	
	<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>		
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>		
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input checked="" type="checkbox"/>		
	<i>2. Climate Change Mitigation and Adaptation</i>	<input checked="" type="checkbox"/>		

Dr. Chris Edens (Archaeologist – former director of the American Institute for Yemeni Studies).

Dr. Ala'a Al Habashi, Professor Eves Eagles, Eng. IssamAwwad, Renzo Ravagnan, Abdullah Al Hadrami

	3. Community Health, Safety and Working Conditions	X	
	4. Cultural Heritage	X	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	X	

Final Sign Off

Signature	Date	Description
QA Assessor Edrees Al-Qadasi, YECRP PM a.i Signature: 	14/03/2019	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver Auke Lootsma, Resident Representative Signature: 	14/03/2019	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women’s Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3.	Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	Yes
4.	Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	No

² Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	<i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	Yes
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes (small scale)
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No (small scale)
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered.</i>	No

<i>Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>		
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ³ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	Yes
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	Yes
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	Yes
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	Yes
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	Yes
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	Yes
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		

³ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ⁴	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No

⁴ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Yes
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	Yes
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No (small-scale)

Annex 2. Specific Risks and Management Measures by Project Activity

Sub-Project Activity	Potential Impacts	Proposed Mitigation Measures	Means of insurance and compliance
Building New Terraces	<p>Air Quality and Noise Construction</p> <p>Construction may impact air quality and generate noise. This results mainly from excavation, site grading, vehicle loading and unloading, and other construction-related activities.</p> <p>Operation</p> <p>Potential impacts on ambient air quality would result from odors and gaseous emissions</p>	<p>Air Quality and Noise Construction</p> <p>Use dust control measures onsite, such as water spraying for dust suppression;</p> <p>Regulate site access;</p> <p>Cover lorries transporting friable construction materials and spoil;</p> <p>Prohibit open air burning;</p>	<p>SFD with beneficiaries CBOs oversees construction and operation activities and conducts visual inspection with the assistance of a representative of the local community</p> <p>Contracts and PCU coordinator ensures that</p>

	<p>generated by stagnant water—water may increase humidity</p> <ul style="list-style-type: none"> - Exposure to or production cracks, humidity exfoliation may happen due to high humidity in the area - Odor due to increase relative humidity - Deterioration of terraces walls may lead to erosion or flash flood - Disturbing the stability of slopes and soils due to large quantities of materials extracted to build the terraces - Interruption of some runoff water <p>Soil Quality and Surface/Ground water Pattern/contamination</p> <p>Construction</p> <p>Impacts on soil quality may result from the following construction activities:</p> <ul style="list-style-type: none"> - Change in composition, filtration. - Minor oil spills from construction equipment <p>Operation</p> <p>Contamination of soils and groundwater with chemicals used in farming and chemicals and oil spills from equipment.</p> <p>Spills and leaks at liquid impoundment areas for fuels, solvents, waste and from infrastructure equipment, may infiltrate through soil pores, under gravitational forces, and contaminate ground water aquifers;</p> <p>Discharge into surface waters, or alteration of surface water quality, including but not limited to temperature, dissolved oxygen, turbidity, solids</p> <p>Wastewater</p>	<p>Maintain machinery in good working conditions to minimize emissions; and</p> <p>Provide adequate protective wear for workers, and equipment must be maintained regularly to avoid any emissions;</p> <p>Pre-treat gases emitted</p> <p>Operation</p> <p>Conserve energy use to reduce fuel combustion;</p> <p>Mitigation to the first factor could be addressed by frequent inspection to the terraces construction and apply the required maintenance. Regular inspection and examinations for mentioned impacts and address them through maintenance replacement of materials spoiled.</p> <p>Minimizing entrance of heavy machines to reduce vibration impact. For handling and occupational health applying strict protection regulation for occupational health measurements is critical and a site-specific management plan is required-including all operational stages from handling, washing, classification, freezing, backing up to loading and distribution to consumption</p> <p>Soil Quality and Surface/Ground water pattern/contamination</p> <p>Construction</p> <p>Apply, inspect and maintain temporary/permanent erosion and sediment control measures (e.g. silt fences,</p>	<p>contractors implement environmental management plans/regulations and that contractors perform continuous inspection and monitoring of areas of potential pollution and/or uses with the potential to result in soil contamination;</p> <p>Complaints from local community</p> <p>Review of tender and bid documents by SFD</p>
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	<p>Potential generation of waste water resulting from the project activities and/ or sub-projects during both construction and operation.</p> <p>-contamination of water, soil and agricultural products with insecticides and herbicides</p> <p>Biological Resources- Flora & Fauna</p> <p>Removal or disturbance of natural vegetation, A loss or disturbance to a unique, rare or threatened plant community, A reduction in the numbers or restriction in the range of any unique, rare or threatened species of plants such as bushes, A deterioration of existing wildlife habitat, Introduction of any factors (light, fencing, noise, human presence and/or domestic animals) which could hinder the normal activities of wildlife</p>	<p>rapid growth vegetation, erosion control matting) to exposed areas;</p> <p>Restrict movement of vehicles to designated tracks;</p> <p>Operation</p> <p>Maintain periodically vehicles and equipment to prevent leaks;</p> <p>Maintain records and procedures for equipment maintenance, handling and storage of liquid fuels and chemicals; lab regular testing for ground and surface water</p> <p>Wastewater</p> <p>Encourage drying mechanisms to avoid stagnant water</p> <p>Use of bio-treatment to prevent chemical contamination</p> <p>Apply IPMP to avoid negative impact of pesticides and herbicides if required, apply biological control for pests. ⁵</p> <p>Biological Resources- Flora & Fauna</p> <p>Applying environmental operational standards within the legal, policy and management framework of the project to minimize the negative impact on the environment using the comparative advantage of the different project counterparts. Compliance with SFD's</p>	
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⁵ Integrated Pest Management Plan as per World Bank operational manual at <http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTARD/EXTPESTMGMT/0>

		ESMF is critical for the conservation of biodiversity Coordination with relevant stakeholders is very important, Proper selection of sites as to avoid damaging natural habitat. Tender document will have to include provisions for site specific ESMP.	
Open Catchment Covered Rainwater Harvesting Cisterns for Domestic Use	<p>Air Quality and Noise Construction</p> <p>Construction may impact air quality and generate noise. This results mainly from excavation, site grading, vehicle loading and unloading, and other construction-related activities.</p> <p>Operation</p> <ul style="list-style-type: none"> - Bad odors from donkeys' droppings together with water spills from extracting water - Mosquito breeding may occur as well as algae growth, <p>Soil Quality and Ground Water Contamination Construction</p> <p>Impacts on soil quality may result from the following construction activities: Site clearance, site grading, excavation, infrastructure, and oil leaks from vehicles/equipment.</p> <p>Operation</p> <p>Donkeys' droppings together with water spills may percolate and contaminate groundwater.</p> <ul style="list-style-type: none"> -Potential for stagnant water <p>Biological Resources- Flora & Fauna Construction & Operation</p>	<p>Air Quality and Noise Construction</p> <p>Use dust control measures onsite, such as water spraying for dust suppression;</p> <p>Regulate site access;</p> <p>Cover lorries transporting friable construction materials and spoil;</p> <p>Prohibit open air burning;</p> <p>Maintain machinery and vehicles in good working conditions to minimize emissions; and</p> <p>Provide adequate protective wear for workers</p> <p>Operation</p> <ul style="list-style-type: none"> -Assess the ecology of disease carriers in the watershed - Employ suitable prevention and mitigation measures, including education of local people and construction workers, -Monitor disease and public health indicators,after construction, and take corrective measures (e.g. education, medical) as needed - Treatment of stagnant water to avoid biological contamination <p>Biological Resources- Flora & Fauna</p>	<p>Villages CBOs with support from Governorate lined Units in addition to SFD/PWP conducting visual inspection with the assistance of a representative of the local community.</p> <p>Contracts and ECO ensures that contractors implement environmental and social management plans/regulations and that Technical officials with CBOs perform continuous inspection and monitoring of areas of potential pollution and/or uses with the potential to result in soil contamination; Review of tender and bid documents by SFD</p>

	<p>Removal or disturbance of natural vegetation, A loss or disturbance to a unique, rare or threatened plant community, A reduction in the numbers or restriction in the range of any unique, rare or threatened species of plants such as indigenous herbs, A deterioration of existing wildlife habitat, Introduction of any factors (light, fencing, noise, human presence and/or domestic animals) which could hinder the normal activities of wildlife</p>	<ul style="list-style-type: none"> - Applying environmental operational standards within the legal, policy and management framework of the project to minimize the negative impact on the environment using the comparative advantage of the different project counterparts. - Proper selection of sites as to avoid damaging natural habitat. - Tender document will have to include provisions for site specific ESMP and implementation, when required. 	
<p>Rooftop rainwater harvesting cisterns</p>	<p>Construction</p> <ul style="list-style-type: none"> - Owners tend to have the cistern very near to the house sometimes directly adjacent to the house and this may cause house damage due possible water leakage, - Land acquisition problem may arise, <p>Operation</p> <ul style="list-style-type: none"> - There is a possibility for Mosquito breeding and algae growth, - Contamination of stored water as a result of using dirty bucket and rope for extracting water. <p>Clogging of the inlet coarse filter may cause loss of precious water to the owner.</p>	<p>Construction</p> <ul style="list-style-type: none"> - Proper selection of sites far from buildings and insure water tightness of the cistern, - Help solving land acquisition amicably, <p>Operation</p> <ul style="list-style-type: none"> - Educated the owners to keep the cistern close after each use and use clean bucket and rope for extracting water, - Clean the coarse filter frequently, - Frequently inspect the cistern for leakage and the houses for expected damages from leakages, 	<ul style="list-style-type: none"> - House owner and supervising team to select good location for the cistern. - Supervising technician and engineer to insure the quality of work and the water tightness of the cistern
<p>Flood Protection</p>	<p>Alteration or damaging natural habitat during construction, contamination may occur from construction infrastructure and materials, run-off surface water obstacles and divert to cause other flooding hazards</p>	<p>Avoiding damaging natural habitat during constructions or minimize it (proper site selection, use environmentally friendly materials, prepare materials off-site, etc.)</p> <p>Tender document will have to include provisions for site specific ESMP.</p> <p>Good practice in design</p>	<p>All technical stakeholders are involved in inspection of quality assurance with village CBO and overall supervision of SFD/PWP</p>

<p>Water Saving Irrigation Systems</p>	<p>Plastic installation and dioxin made material could be a source of contamination for water and soil and thus public health</p>	<p>Using materials made from environmental friendly materials and good practice Apply specific site ESMP</p>	<p>All technical stakeholder are involved in inspection of quality assurance and WEU with village CBO</p>
<p>Stone Pavement</p>	<p>Air Quality and Noise Construction Construction may impact air quality and generate noise. This results mainly from excavation, site grading, vehicle loading and unloading, and other construction-related activities.</p> <p>Operation Potential impacts on ambient air quality would result from odors and gaseous emissions generated by stagnant water – water may increase humidity</p> <ul style="list-style-type: none"> - Exposure to or production cracks, humidity exfoliation may happen due to high humidity in the area - Odor due to increase relative humidity - Deterioration of stone pavement may lead to erosion or flash flood - disturbing the stability of slopes and soils due to large quantities used in building pavements - interruption of some runoff water <p>Soil Quality and Surface/Ground water pattern/contamination</p> <p>Construction Impacts on soil quality may result from the following construction activities: Change in composition, filtration.</p> <p>Operation</p>	<p>Air Quality and Noise Construction Use dust control measures onsite, such as water spraying for dust suppression; Regulate site access; Cover lorries transporting construction materials; Prohibit open air burning; Maintain machinery in good working conditions to minimize emissions; and Provide adequate protective wear for workers Pre-treat gases emitted</p> <p>Operation Conserve energy use to reduce fuel combustion; Regular inspection and examinations for mentioned impacts and address them through maintenance replacement of materials spoiled. Minimizing entrance of heavy machines to reduce vibration impact. Applying occupational health protection regulations and measurements is critical for all operational stages from stone cutting through finish of pavement. Soil Quality and Surface/Ground water pattern/contamination</p> <p>Design Include groundwater recharging means such as leaching and pits and trenches to mitigate the impacts of low infiltration resulted from pavement</p>	<p>SFD/PWP with beneficiaries CBOs oversees construction and operation activities and conducts visual inspection with the assistance of a representative of the local community. PCU coordinator ensures that contractors implement environmental management plans/regulations and that contractors perform continuous inspection and monitoring of areas of potential pollution and/or uses with the potential to result in soil contamination; Complaints from local community Review of tender and bid documents by SFD/PWP</p>

	<p>Contamination of soils and groundwater with chemicals used in construction and chemicals and oil spills from equipment.</p> <p>Spills and leaks at liquid impoundment areas for fuels, solvents, waste and from infrastructure equipment, may infiltrate through soil pores, under gravitational forces, and contaminate ground water aquifers;</p> <p>Discharge into surface waters, or alteration of surface water quality, including but not limited to temperature, dissolved oxygen, turbidity, solids</p> <p>Wastewater</p> <p>Potential generation of waste water resulting from the project activities and/ or sub-projects during both construction and operation.</p> <p>Biological Resources- Flora & Fauna</p> <p>Removal or disturbance of natural vegetation, A loss or disturbance to a unique, rare or threatened plant community, A reduction in the numbers or restriction in the range of any unique, rare or threatened species of plants such as bushes, A deterioration of existing wildlife habitat, Introduction of any factors (light, fencing, noise, human presence and/or domestic animals) which could hinder the normal activities of wildlife</p>	<p>Construction</p> <p>Apply, inspect and maintain temporary/permanent erosion and sediment control measures (e.g. silt fences, rapid growth vegetation, erosion control matting) to exposed areas;</p> <p>Restrict movement of vehicles to designated tracks</p> <p>Operation</p> <p>Periodically maintain vehicles and equipment to prevent leaks;</p> <p>Maintain records and procedures for equipment maintenance, handling and storage of liquid fuels and chemicals; lab regular testing for ground and surface water</p> <p>Wastewater</p> <p>Encourage drying mechanisms to avoid stagnant water</p> <p>Use of bio-treatment to prevent chemical contamination</p> <p>Biological Resources- Flora & Fauna</p> <p>Applying environmental operational standards within the legal, policy and management framework of the project to minimize the negative impact on the environment using the comparative advantage of the different project counterparts. Compliance with SFD criteria is critical for the conservation of biodiversity. Coordination with relevant stakeholders is very important. Proper selection of sites as to avoid damaging natural habitat. Tender document will have to include provisions for site specific ESMP.</p>	
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<p>Basic services facilities: Education, Health, etc.</p>	<p>Construction</p> <ul style="list-style-type: none"> -Dispute among beneficiaries on the Location -Water pollution due to wastewater disposal of temporary latrines -Spread out of construction waste -Spread out of solid municipal waste <p>Operation</p> <p>Types of health waste can include:</p> <ul style="list-style-type: none"> -Human tissue and blood; -Soiled surgical dressings and swabs; -Discarded syringe needles; -Other contaminated sharp instruments; - Microbiological cultures and potentially infected wastes from laboratories; -Excretions; and -Drugs and other pharmaceutical products. -Radioactive wastes need to be managed and treated separately from other healthcare wastes, and are not covered here (will require separate EMP) -Human feces spread around the site -Water pollution due to wastewater disposal of school bathrooms 	<p>Proper selection of sites as to avoid dispute among beneficiaries on the location.</p> <p>Tender document will have to include provisions for site specific ESMP.</p> <ul style="list-style-type: none"> -Applying occupational health risk control measures regulations and procedures -Locate latrines, septic systems and soakaways at least 30m from any water body (e.g. stream, river, lake, pond) -Ensure adequate design, installation and maintenance of latrines, holding tanks, septic systems and wastewater soakaways. This is especially important where the water table is high or soils have a high clay or sand content -Ensure adequate spacing between latrines and soakaways - Tender document for hazardous wastes will have to include provisions for site specific management measures specified in ESMP. Determine the approximate volumes of waste materials by category (e.g. sharps, body tissues, dressings, pharmaceutical products, non-hazardous healthcare wastes, etc.), and design the management system to deal with each waste category separately as required - Assess current practices and address the priority gaps and risks, building on any successful aspects of the current system. All measures and facilities should be planned within an overall strategy for hazardous healthcare waste management. This overall strategy will ensure consistent and efficient methods, and sharing of good practices. 	<p>All technical stakeholders are involved in inspection of quality assurance with village CBO</p>
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		<ul style="list-style-type: none"> - Provide specialized, clearly labeled containers for hazardous healthcare wastes to separate them at source, manage the risks of exposure, and secure the wastes before removal for treatment or storage. - Plan, design, construct and operate a shared treatment facility. Types of facilities include heat treatment disinfection, incineration, chemical & biological treatment. - Until a shared treatment facility is established, employ interim measures to ensure the safe and secure storage of wastes. In some cases, an appropriate interim measure will be to bury the waste in deep (e.g. >2m) trenches in municipal disposal sites, and ensure the trenches are immediately covered with other municipal solid waste. -Implementing the Self Monitoring and Follow up and sewage treatment Implementing the items in the TD related to dealing with municipal solid wastes and the components needed for SWMP 	
Rural Feeder Road	<p>Construction</p> <p>Construction may impact air quality and generate noise. This results mainly from excavation, site grading, vehicle loading and unloading, and other construction-related activities.</p> <p>Solid wastes</p> <p>Construction wastes</p> <p>Historical monuments</p> <p>Green areas</p> <p>Sanitary drainage</p> <p>Deformation of grades</p> <p>Blockage of water canals and drainage course at their intersection with road.</p>	<ul style="list-style-type: none"> -Good practice during construction. Proper treatment of solid waste and other byproduct during construction -Applying occupational health risk control measures regulations and procedures -Apply suitable design for natural water courses and putting measures for preserving wildlife -Avoiding damaging natural habitat during constructions or minimize it (proper site selection, use environmentally friendly materials, prepare materials off-site, etc.) 	All technical stakeholders are involved in inspection of quality assurance with village CBO and overall supervision of SFD

	<p>Alteration or damaging natural habitat during construction, contamination may occur from construction infrastructure and materials, run-off surface water obstacles and divert to cause other flooding hazards. A deterioration of existing wildlife habitat, Introduction of any factors (light, fencing, noise, human presence and/or domestic animals) which could hinder the normal activities of wildlife</p> <p>Operation</p> <p>Abrasion of road</p> <p>Increase of traffic accidents</p>	<p>-Avoid creating congested and unsafe road conditions at intersections, and in villages and towns</p> <p>-Good practice in design to avoid traffic accidents such as Sloping of road Curves</p> <p>-Include components that reduce traffic accidents such as speed breakers and speed limits signs</p> <p>-Tender document will have to include provisions for site specific ESMP.</p>	
Improving Rural Markets	<p>Construction</p> <p>Construction may impact air quality and generate noise. This results mainly from excavation, site grading, vehicle loading and unloading, and other construction-related activities.</p> <p>Solid wastes</p> <p>Construction wastes</p> <p>Historical monuments</p> <p>Green areas</p> <p>Sanitary drainage</p> <p>Deformation of grades</p> <p>Operation</p> <p>Solid waste, wastewater from market latrines may cause soil and water sources pollution</p>	<p>Construction</p> <p>-Maintain equipment in good working condition to reduce emissions and noise,</p> <p>-Use dust control measures onsite, such as water spraying for dust suppression;</p> <p>-Good practice associated with quality assurance and regular site inspection</p> <p>-Cover lorries transporting friable construction materials</p> <p>-Maintain a system for collecting and disposing garbage during construction</p> <p>-Collect construction wastes and transport them to the agreed site</p> <p>-Tendering should include specific site ESMP</p> <p>-Applying occupational health risk control measures regulations and procedures</p> <p>Operation</p> <p>-Enforce the solid waste management system that should have been developed by the SA at the preparation stages</p>	District/town/village councils with support from CBOs and SFD

		-Maintain good operation and maintenance of market latrines	
Water Supply	<p>During design</p> <ul style="list-style-type: none"> -Health: Vector breeding sites; -Land use: Disputes about designed project site on privately owned land, or disconcerting areas of public, touristic interest, disturbing wildlife etc. -Disputes about designed route of pipes through privately owned land -Land Resources: Ground water pollution from pit latrines polluting the underlying aquifer. <p>During construction:</p> <ul style="list-style-type: none"> - Air: Increased dust during excavation and burial of pipes. 	<ul style="list-style-type: none"> -Hygienic conditions around public collection points by paving at least 1 m² apron concrete slab under the water taps with proper drainage and fencing. -Discuss the planned site with landowners to get approval. If land cannot be obtained through voluntary land donation, it needs to change the design to communal owned land or to land with less expected conflicts. Consider drop of sub- project if problems are not resolved. -Discuss the planned route with landowners to get their approval. If the land cannot be obtained through voluntary land donation, it needs to change the planned route to avoid conflicts. - Ground water quality testing at source development and regular intervals. Soil/site inspection before latrine construction. Latrines to be more than 50 m from wells. -Applying occupational health risk control measures regulations and procedures -Coordinate with local authorities to avoid or minimize disruption to basic services such as water and sewer. -Inform nearby households. 	<p>SFD/PWP</p> <p>Environmental Specialist</p> <p>And Local NGOs</p>

	<p>- Health: Collection, handling and disposal of solid waste.</p> <p>- Infrastructure services: Possible damage to water supply pipes paved roads, cables, existing cesspits, leaking or blowout of water reservoir.etc.</p> <p>-Noise: Increased levels of noise and vibration</p> <p>- Safety: possibility of Accidents</p> <p>- Increased Traffic: Disruptions of water supply and local access</p> <p>- Water: Pit latrines can pollute the underlying aquifer.</p>	<p>Protect excavation works with proper shielding scaffolds. Spraying water during excavation might reduce the dust. Workers wear protective masks</p> <p>- Take health and safety measures when disposal of excavated soil to a safe location.</p> <p>-Proper maintenance and inspection of water pipes and community reservoirs to ensure leaks or damage are avoided and repaired quickly if/when identified to prevent ruptures.</p> <p>-Avoid causing damages. Dispose all waste and soil to a safe location. Repair pavement on the completion of the Works</p> <p>- Inform nearby houses. Avoid work during night hours. Provide workers with Protection</p> <p>- Protect work zones with portable scaffold sheets. Provide proper support for trench sides to protect against their collapse. Improve the readiness of health facilities in the region to deal with emergency cases. Provide workers with protective clothing.</p> <p>- Inform the affected houses in advance and keep disruptions as short as possible</p> <p>Contracts to include provisions for chance find. Training will take place</p>	
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	<p>Archaeological find: Damaging important and/or precious cultural heritage</p> <p>Safety: possibility of accidents</p> <p>During Operation:</p> <ul style="list-style-type: none"> - Health: The possible formation of vector breeding stagnant effluent ponds. <p>Water: Ground water Pollution from Pit latrine</p>	<p>for crew/supervisors, to spot potential archaeological finds. In the event of a potential find, liaise with the archaeological department at MoC or a local university for quick assessment and action</p> <p>Protect construction site from trespassers. Improve the readiness of health facilities in the region to deal with emergency cases.</p> <p>Provide workers with protective clothing.</p> <p>Take necessary actions for fighting vectors (spraying with insecticides, reclamation of stagnant pools, using nets on windows and beds, etc.)</p> <ul style="list-style-type: none"> - Ground water quality testing at source at regular intervals. 	
<p>Sewerage Networks</p>	<p>During design:</p> <p>Water: Land use: Disputes about designed route of pipes through privately owned land</p> <p>During construction:</p> <ul style="list-style-type: none"> - Air: Increased dust during excavation and burial of pipes <p>- Health: Removal and disposal of waste material from</p>	<ul style="list-style-type: none"> - Discuss the planned route with landowners to get their approval. If the land cannot be obtained through voluntary land donation, it needs to change the planned route to avoid conflicts <p>-Applying occupational health risk control measures regulations and procedures</p> <p>Spraying water during excavation might reduce the dust. Workers wear protective masks</p> <p>-Avoid causing damages.</p>	<p>SFD/PWP Environmental Specialist EPA Local NGOs</p>

	<p>(existing) pits. Collection, handling and disposal of solid waste.</p> <p>- Infrastructure services: Possible destruction of water supply pipes, paved roads, cables, existing cesspits, .etc.</p> <p>Noise: Increased levels of noise and vibration</p> <p>Occupational Health and Safety</p> <p>Traffic: Disruptions of water supply and local access</p> <p>- Archaeological find: Damaging important and/or precious cultural heritage</p>	<p>Take health and safety measures when demolishing existing cesspits and on the disposal of sludge and polluted excavated soil. Dispose all polluted waste and soil to a safe location.</p> <p>Repair pavement on the completion of the Works</p> <p>- Inform nearby houses. Avoid work during night hours.</p> <p>- Protect work zones with portable scaffold sheets.</p> <p>Provide proper support for trench sides to protect against their collapse.</p> <p>Improve the readiness of health facilities in the region to deal with emergency cases. Provide workers with proper safety equipment and clothing.</p> <p>Inform the affected houses in advance and keep disruptions as short as possible.</p> <p>- Contracts to include provisions for chance find. Training will take place for crew/supervisors, to spot potential archaeological finds. In the event of a potential find, liaise with the archaeological department at MoC or a local university for quick assessment and action.</p> <p>- Protect construction site from trespassers.</p> <p>- Improve the readiness of health facilities in the region to deal with emergency cases.</p>	
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	Safety: possibility of accidents		
Schools	<p>During design:</p> <p>Land use: Disputes about designed project site on privately owned land, or disconcerting areas of public, touristic interest, disturbing wildlife etc.</p> <p>Health: Lack or failure of sanitation facilities</p> <p>During construction:</p> <p>Noise: Increased levels of noise and vibration.</p> <p>- Archaeological find: Damaging important and/or precious cultural heritage.</p> <p>Safety: Possibility of accidents/hazards</p>	<p>Discuss the planned site with landowners to get approval. If the land cannot be obtained through voluntary land donation, it needs to change the design to communal owned land or to land with less expected conflicts.</p> <p>Add sanitation facilities to the design or upgrade existing facilities.</p> <p>Inform nearby houses. Avoid work during night hours.</p> <p>- Training will take place for crew/supervisors, to spot potential archaeological finds. In the event of a potential find, liaise with the archaeological department at MoC or a local university for quick assessment and action.</p> <p>- Protect construction site from trespassers.</p>	<p>SFD/PWP</p> <p>Environmental Specialist</p> <p>EPA</p> <p>Local NGOs</p>

		<p>Provide proper support for trench sides to protect against their collapse. Improve the readiness of health facilities in the region to deal with emergency cases. Provide workers with protective clothing.</p> <p>-Applying occupational health and safety risk control measures regulations and procedures</p>	
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Annex 3. Environmental and Social Management Plan - Indicative Outline

Please refer to the [UNDP SES Guidance Note on Assessment and Management](#) for additional information.

The content of the ESMP may be presented in different formats (per templates of SFD and PWP) but should address the following elements:

(1) **Project Information:** Project title and brief description of project activities, location and surrounding area. Note key stakeholders. Inclusion of drawing or map

(2) **Impacts and Mitigation Measures:** Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

(2) **Monitoring:** Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters/indicators to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(3) **Capacity development and training:** To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(4) **Stakeholder Engagement:** Outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation; and (c) description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

(5) **Implementation action plan** (schedule and cost estimates): For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

Annex 4. Guidance for Submitting a Grievance



Guidance for Submitting a Request to UNDP Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM) [for more information go to www.undp.org/secu-srm]

Purpose of this form

- **If you use this form, please put your answers in bold writing to distinguish text**
- **The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.**

This form is intended to assist in:

- (1) Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you believe you are being harmed as a result. This request could initiate a 'compliance review', which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP's Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

- (2) Submitting a request for UNDP "Stakeholder Response" when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP's Stakeholder Response Mechanism.

Confidentiality If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response

Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

Guidance

When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

Information about You

Are you...

1. A person affected by a UNDP-supported project?

Mark "X" next to the answer that applies to you: Yes: No:

2. An authorized representative of an affected person or group?

Mark "X" next to the answer that applies to you: Yes: No:

If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by attaching one or more files to this form.

3. First name:
4. Last name:
5. Any other identifying information:
6. Mailing address:
7. Email address:
8. Telephone Number (with country code):
9. Your address/location:
10. Nearest city or town:
11. Any additional instructions on how to contact you:
12. Country:

What you are seeking from UNDP: Compliance Review and/or Stakeholder Response

You have four options:

- Submit a request for a Compliance Review;
 - Submit a request for a Stakeholder Response;
 - Submit a request for both a Compliance Review and a Stakeholder Response;
 - State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.
13. Are you concerned that UNDP's failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark "X" next to the answer that applies to you: Yes: No:
14. Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark "X" next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

15. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark "X" next to the answer that applies to you: Yes: No:

16. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark "X" next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

17. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark "X" next to the answer that applies to you: Yes: No:

If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

18. Are you seeking both Compliance Review and Stakeholder Response?

Mark "X" next to the answer that applies to you: Yes: No:

19. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark "X" next to the answer that applies to you: Yes: No:

Information about the UNDP Project you are concerned about, and the nature of your concern:

20. Which UNDP-supported project are you concerned about? (if known):

21. Project name (if known):

22. Please provide a short description of your concerns about the project. If you have concerns about UNDP's failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose

23. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark "X" next to the answer that applies to you: Yes: No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with

Name of Officials You have Already Contacted Regarding this Issue:

First Name	Last Name	Title/Affiliation	Estimated Date of Contact	Response from the Individual
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24. Are there other individuals or groups that are adversely affected by the project?

Mark "X" next to the answer that applies to you: Yes: No:

25. Please provide the names and/or description of other individuals or groups that support the request:

First Name	Last Name	Title/Affiliation	Contact Information
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Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

Submission and Support

To submit your request, or if you need assistance please email: project.concerns@undp.org

Complaints Registration Form at PWP

<u>Complaints registration form at PWP</u>	
التاريخ: project No: رقم المشروع:
Date.....
اسم المشروع: .	Project Name.....
اسم الشاكي:	Name of complainant.....

Complaint نص الشكوى:.. content.....		
Actions takenالإجراءات المتخذة:		
The date of resolving the تاريخ انتهاء المشكله: .. complaints.....		
Commentsالملاحظات:.....		
المختص: Manager	Responsible person	مدير إدارة المتابعة Follow-up department
التوقيع: signature	التوقيع signature	

Complaint Handling Mechanism (CHM) Online Form for SFD
[for more information go to <https://chm.sfd-yemen.org/complaint/online-form/>]

Annex 5. OHS Framework

(attached separately)

Annex 6. OHS Toolkit

(attached separately)

Annex 7. PWP Operational Manual

(attached separately)

Annex 8. PWP Environmental and Social Management Framework (2014)

(attached separately)

Annex 9. SFD Operational Manual

(attached separately)

Annex 10. SFD Phase IV Environmental and Social Management Framework (2014)

(attached separately)

Annex 11. Summary of ECRP ESMF Stakeholder Consultations in Sana'a and Aden

(attached separately)

Annex 12. Third-Party Monitoring Report – ESMF Stakeholder Consultation

(attached separately)