

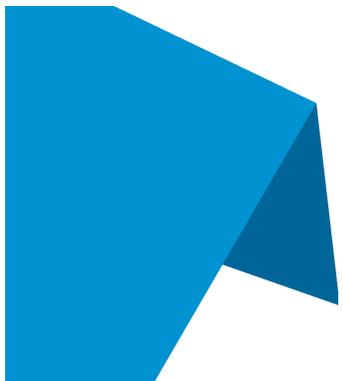


**UNITED NATIONS OFFICE FOR PROJECT SERVICES**

**REPUBLIC OF YEMEN  
Yemen EMERGENCY LIFELINE CONNECTIVITY PROJECT  
P177053**

# **Preliminary Stakeholder Engagement Plan (SEP)**

**14 November 2021**

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## **Emergency Lifeline Connectivity Project (P177053)**

### **Document History**

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# 1 Introduction/Project Description

## 1.1 Introduction

1. The overall objective of this preliminary Stakeholder Engagement Plan (SEP) is to define a program for stakeholder engagement, including public information disclosure and consultation, throughout the entire project cycle. The SEP outlines the ways in which UNOPS and its implementing partners will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about project and any activities related to the project.
2. UNOPS and its implementing partners are committed to ensuring the meaningful, effective and informed engagement of stakeholders throughout the Project's lifecycle. This will help ensure a smooth collaboration between project staff and targeted stakeholders, and to minimize and mitigate environmental and social risks related to the Project activities. Key stakeholders must not only be informed, but also consulted and provided with the means to contribute to the Project's sustainability and raise complaints or provide feedback.
3. Due to the urgency of the project and COVID-19 restrictions, a preliminary SEP has been prepared but more inclusive consultations will be conducted when updating the SEP. An updated version of the SEP will be prepared no later than a month from the effectiveness date which will include inclusive consultations with all stakeholders and affected parties.

## 1.2 Project Description<sup>1</sup>

4. The overall objectives are to reduce transport cost of essential commodities by increasing and maintaining road access to food and other humanitarian

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<sup>1</sup> This Chapter is based on the Project Appraisal Document (PAD) November 8, 2021.

aid centers in a safe and reliable manner, and provide employment and entrepreneurship opportunities to rural poor within the project area. The Project has four components:

5. ***Component 1: Rural and Village Access Roads Improvement and Maintenance (US\$41.00million)***
6. ***Component 1.A: Rehabilitation of Lifeline Rural Access Roads (US\$33.00 million)***. This component will finance the following: (i) rural access road upgrading (150 km) and spot improvement(ii) construction of market stalls for potential roadside vendors and (iii) studies, designs, production of tender documents and independent supervision of the civil works. Activities under this component will adopt climate resilient and less carbon-intensive design and construction approaches including bioengineering for slope stabilization; utilization of locally available climate-friendly natural stones, sand and aggregates for side lopes, stone culverts, as well as planting trees along the roads as a carbon sink.
7. ***Component 1.B: Employment-Intensive Road Maintenance (US\$ 8.00 million)***. This component will support (i) creation/strengthening of microenterprises (ME), (ii) training MEs, and (iii) labor-intensive maintenance of rural and village access roads through MEs (about 60 km village access roads (VAR) and 150 km rural roads and), (iv) consultancy services for studies, preparation of training modules, designs, production of tender documents and independent supervision linked to the civil works, and (v) supporting female internships in road maintenance. The project will work with SMEPS to mobilize communities to form microenterprises. These entities will be trained by the project in business management, project management, road maintenance techniques, quality control, maintenance pricing and tendering, contract management and project

financial management. MEs will be provided opportunities to participate in bids for road maintenance works advertised by the project in their respective areas and awarded contracts when successful and be provided with on-the-job support. They will be provided with advance payments for initial mobilization and purchase of maintenance tools and limited equipment rentals; the advance payment will be recovered over a maximum of 18 months. The contracts will be for a minimum of two years and extendable based on fund availability and past performance. Female-headed households will be provided priority on labor selection by MEs as shall be provided in the bidding documents.

***Component 2: Strengthening Management Capacity of Transport Sector Public Institutions (US\$ 2.00 million).*** Building on the recent assessment of Yemen's national institutions to support their transition to national project implementation, this component will finance: (i) strengthening project management capacities of the RMF-IU and RAP through a program of capacity building provided by a consulting firm, and for RAP to provide implementation support to the Project on certain tasks based on meeting triggers set in the capacity building program as will be agreed between UNOPS and the World Bank, with the aim to preparing them to efficiently manage the network in post-crisis Yemen, (ii) support for the RAP to revive its Management Informant System (MIS), (iii) Support RMF to reactivate its Road Asset Management System (RAMS) and tools, strengthening RAP's and RMF's capacity to predict, respond and design resilient roads infrastructure to extreme climate events such as floods, to assess vulnerability of infrastructure assets and prepare and implement resilient investment plans, (iv) establishment of a partnership between local transport sector institutions and universities to offer internship programs for women in implementing institutions. This will be done through a technical assistance consultancy including targeted training, as well as equipment and knowledge acquisition.

***Component 3: Project Implementation and Monitoring Support, Studies and Preparatory Activities (US\$ 7.0 million).*** The component will finance: (i) UNOPS' general management support (indirect) costs and direct

project management and oversight costs, (ii) Beneficiary satisfaction Survey (iii) project monitoring and evaluation activities by Third Party Monitoring Agent (TPMA) and beneficiary satisfaction survey, and (iv) sector studies and other preparatory activities of potential follow-on operations to scale up the proposed project and the ME approach, and other sectoral investments.

8. ***Component 4: Contingent Emergency Response (US\$0 million; to be capitalized in case of emergency).*** The objective of this component is to improve the country's response capacity in the event of a new emergency, following the procedures governed by paragraph 12 of the World Bank Policy on Investment Policy Financing (Rapid Response to Crises and Emergencies). There is a possibility that, during project implementation, a natural disaster, epidemic, or another emergency may occur, which would cause a major adverse economic and/or social impact. In anticipation of such an event, the Contingent Emergency Response Component (CERC) allows the Republic of Yemen through the implementing agency UNOPS to receive support by reallocating funds from other project components or serving as a conduit to process additional financing from other funding sources for eligible emergencies to mitigate, respond to, and recover from the potential harmful consequences arising from the emergency. Disbursements under this subcomponent will be subject to the declaration of emergency by the Republic of Yemen, the international community, or the United Nations (UN).
9. The project will be implemented by UNOPS through direct implementation as well as project cooperation agreements between UNOPS and an implementing partner: the Rural Access Project (RAP).

### 1.3 Context

10. Projects in a conflict environment, such as Yemen, carry specific risks:

- (i) elite capture and/or corruption can exacerbate existing tensions
  - (ii) infrastructure being built that is not sustainable, or does not correspond to community and individual beneficiaries' (women and men's) priorities and needs among others
  - (iii) emergency processes inadvertently undermine local institutions.
11. A well-defined SEP can be an important means to address some of these risks. In addition, it helps build ownership of the project activities by all stakeholders including local councils, citizens of both sexes, and representatives of vulnerable groups by providing concrete methods for engagement and building on local methods of participation and awareness raising where they exist.
  12. Lastly, in the context of a pandemic, broad, culturally appropriate, and adapted awareness raising activities are particularly important to properly sensitize the communities to the risks related to infectious diseases.
  13. **Selection Criteria.** The Rural Access Program was launched in 2001 with the goal to provide equitable all-weather road access to the rural Yemeni population. The program received a strong support from the donor community including World Bank. Given the huge demand for roads and limited resource available, the RAP, upon consultation of all stakeholders has developed a transparent multi-criteria selection and prioritization framework to develop the rural road network across Yemen. The framework has been applied to the national rural roads program, to all projects regardless of the source of financing, which provided donors the confidence to adopt it in their respective financing. The selection parameters include, level of accessibility, population, poverty, cost/benefit, per capita cost. The proposed project would consider vulnerability to climate change and food security to refining the currently prioritized list of road projects

#### 1.4 Citizen Engagement

14. Stakeholder engagement is an integral part of the Project's design. UNOPS will carry out Citizen Engagements in

the communities of the target locations during the first year of the project. The Citizen Engagement process will engage local stakeholders, especially vulnerable and marginalized groups, in gender-sensitive consultations to identify local priority needs and interventions that the Project can undertake.

### **1.5 Gender Action Plan (GAP)**

15. UNOPS will develop a Project-specific Gender Action Plan (GAP) after the completion of the citizen engagement, as a result of the gender screening results conducted during the citizen engagements. The GAP will respond to findings from the gender analysis and other relevant information on gender-based constraints and opportunities relevant to project planned activities.

## **2 Brief Summary of Previous Stakeholder Engagement Activities**

16. Given the nature of the project and ongoing discussions on the Project's design, including its final targeting strategy, consultations have to date been limited to coordination and technical meetings between UNOPS, the World Bank, Rural Access Program (RAP), and relevant line ministries. Additionally, due to the urgency of the project and COVID-19 restrictions, a preliminary SEP has been prepared as the starting point of an iterative process to develop a more comprehensive stakeholder engagement strategy and plan. More inclusive consultations will be conducted, and the preliminary SEP will be updated with more details after project approval. Nonetheless, UNOPS already has significant presence in Yemen. Inclusive consultations will be carried out by UNOPS and its local implementing partner (RAP) with stakeholders involved in the Project

which will include summary of the concerns/findings, date of consultation, number of participants, etc. no later than 30 days from the Project Effectiveness Date in the final SEP.

## **2.1 Stakeholder Engagement during Project preparation**

17. Given the emergency situation<sup>2</sup> and the current COVID-19 pandemic, UNOPS could only conduct limited consultations beyond engaging with public authorities and the implementing partner. . UNOPS consulted with its implementing partner (RAP), the Ministry of Planning and International Cooperation, Ministry of Public Works and Highways, Road Maintenance Fund, and selected rural communities. The main outcomes of these consultation were about the need to update the selection and prioritization criteria of rural and village access roads with a main focus on food security; as well as the importance of early citizen engagements with rural communities and relevant stakeholders of selected project sites.
18. In the context of preparation of the 2018 ESMF and RPF, UNOPS had conducted consultations in March 2018. One consultation involved key stakeholders in the road sector in Yemen, such as staff from the RMF and RAP, including their environmental and social specialists. Key concerns included the costs of E&S measures, and how to best assess the right of way (ROW). UNOPS also consulted with key stakeholders outside the road sector, such as representatives from the environmental regulation agency, local councils, Sana'a University Engineering College and at least 7 different CSOs. Key recommendations from the participants included the need for the project to prepare a communication plan, to adequately supervise contractors on their performance in implementing E&S measures, concerns about farmers and

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<sup>2</sup> UNOPS will take into account Technical Note: Public Consultations and Stakeholder Engagement in WB-supported operations when there are constraints on conducting public meetings

shops who might be affected and the need to include structures to harvest rainwater on the side of the roads.

19.

## 3 Stakeholder Identification and Analysis

20. Project stakeholders include individuals, groups, communities, or other entities that are either affected or likely to be affected by the Project (Project-affected parties), as well as individuals, groups, communities, or other entities that may have an interest in the Project (other interested parties).

### 3.1 Affected Parties

21. Affected parties are the persons, groups and other entities within target cities that are or could be directly influenced by Project activities or have been identified as most susceptible to change associated with the Project, and who must be closely engaged in identifying risks and their significance, as well as in decision-making on mitigation and management measures. YELCP affected parties include:

- Local communities represented by their Beneficiaries Committees and community leaders
- Residents, business entities, and individual entrepreneurs in the area of the project that can benefit from the employment, training and business opportunities stemming from the Project;
- Business owners and providers of services, goods and materials within the project area that will be involved in the project's wider supply chain or may be considered for the role of project's suppliers in the future;
- Project direct workers and,
- Local women's trade organizations and cooperatives.

22. The Project may tap the capacity of local NGOs and advocacy groups to help in disseminating information and raising awareness regarding the Project among potentially affected communities.

### 3.2 Other Interested Parties

23. Other interested parties are individuals, groups, or entities that may not experience direct impacts from the Project but who consider or perceive their interests as being affected by the Project, and thus may affect the Project's implementation. They include:

- Government of Yemen – government officials, permitting and regulatory agencies at the national and local levels, including Ministry of Water and Environment (MoWE) and its environmental

protection authorities, Ministry of Planning and International Cooperation (MoPIC), Ministry of Public Works and Highways (MoPWH), and the Ministry of Local Authority (MoLA).

- The Rural Access Program (RAP) and the Road Maintenance Fund (RMF)
- Local Authorities and Municipal Councils, in the areas where the Project will intervene
- Community-based groups, local microenterprises (MEs) and non-governmental organizations (NGOs) that represent local residents, local committees, community leaders, and other local interest groups, and act on their behalf
- Mass media and associated interest groups, including local, regional and national printed and broadcasting media, digital/web-based entities, and their associations.

Table 1. List of the main institutional stakeholders

Category	Organization	Description
Central Authority	Ministry of Planning and International Cooperation (MoPIC) and its local offices	Line Ministry with local presence
Central Authority	Road Maintenance Fund (RMF) and its local offices	Independent national program
Central Authority	Rural Access Program (RAP)	Independent national program
Central Authority	Ministry of Public Works and Highways (MoPWH) and its local offices	Line Ministry with local presence
Central Authority	Ministry of Public Works and Highways (MoPWH) and its local offices	Line Ministry with local presence
Central Authority	Ministry of Local Authority (MoLA)	Line Ministry with local presence
Local Authority	Governor's Office	Independent local authority that is elected locally
Local Authority	Municipal Councils	Within the local authority that is elected at the municipality level
Local Authority	Local Beneficiaries Committees	Independent local committees formed and managed by local communities
United Nations	Yemen Office for the Coordination of Humanitarian Affairs (OCHA)	UN Office Yemen Office for the Coordination of Humanitarian Affairs

### 3.3 Disadvantaged and Vulnerable Individuals or Groups

24. Vulnerable groups are persons who may be disproportionately impacted or further disadvantaged by Project activities, and thus may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with Project activities. Vulnerability may stem from a person's origin, gender, age, health condition, economic deficiency and financial insecurity, disadvantaged status in the community (e.g., marginalized groups and IDPs), or dependence on other individuals. UNOPS and its implementing partner will engage with vulnerable groups and individuals through a gender-sensitive citizen engagement to ensure that their understanding of and input into the

overall process are commensurate to those of the other stakeholders. The vulnerable groups for YELCP include:

- Elderly people and veterans of war
- Persons with disabilities
- The poor
- Women-headed households or single mothers with underage children
- The unemployed
- IDPs and marginalized groups

25. Marginalized groups in Yemen are typically first or second-generation Yemeni individuals who were born in Yemen, but with illegal immigrant parents, or refugees who came to Yemen from countries around the Horn of Africa (i.e., Somalia, Eritrea, Ethiopia) and are being marginalized and socially excluded; mainly due to their African race, heritage, and lack of Yemeni citizenship and Yemeni origins. They usually live in socially excluded poor communities deprived from equal rights and living conditions.

26. UNOPS and its implementing partner will seek the views of vulnerable and disadvantaged groups during consultations, and take these views into account during Project implementation. Information sharing techniques will be tailored according to the nature and common types of vulnerabilities, for example visuals and sign language interpreters will be used for people with hearing disabilities and illiterate persons; and venues will be chosen to be easily accessible to people with physical disabilities. Measures will also include specific sessions for women.

## 4 Stakeholder Engagement Program

### 4.1 Methodology

27. In accordance with best practice, UNOPS and its implementing partner will apply the following principles to their stakeholder engagement activities:

- *Openness.* UNOPS and its implementing partner will carry out public consultation throughout Project preparation and implementation Project life-cycle, in an open manner, free of external

manipulation, interference, coercion or intimidation. Venues will be easily reachable, and not require long commutes, entrance fees, or preliminary access authorization.

- *Culturally appropriateness.* The format, timing and venue will respect local customs and norms.
- *Informed participation and feedback:* UNOPS and its implementing partner will provide and widely distribute information to all stakeholders in an appropriate format, and provide opportunities to stakeholders provide feedback, and will analyze and address stakeholder comments and concerns.
- *Inclusivity.* Consultations will engage all segments of the local society, including disabled persons, the elderly, minorities, and other vulnerable individuals. If necessary, UNOPS and its implementing partner will provide logistical assistance to enable participants with limited physical abilities and those with insufficient financial or limited transportation means to attend public meetings organized by the Project.
- *Gender sensitivity.* As necessary, UNOPS and its implementing partner will organize separate meetings and focus group discussions for women, and use women facilitators.

## **4.2 Engagement Methods and Techniques**

28. The following table summarizes the engagement methods and tools that UNOPS may apply.

**Table 2. Methods and Tools for Stakeholder Engagement**

Method/Tool	Description and Use	Contents	Target Groups
<b>Information Provision</b>			
Distribution of printed public materials: leaflets, brochures, fact sheets, as part of consultation meetings, public hearings, discussions and meetings with stakeholders, as well as household visits in remote areas. Placement at the offices of local administrations and NGOs, libraries and other public venues.	Used to convey information on the Project and regular updates on its progress to local, and national stakeholders.	Printed materials present illustrative and written information on Project activities, facilities, technologies and design solutions, as well as impact mitigation measures. Presented contents are concise and adapted to a layperson reader. Graphics and pictorials are widely used to describe technical aspects.	Residents and other interested parties. Beneficiaries Committees, NGOs, and Civil Society
Distribution of printed public materials: newsletters/ updates through post, emailing, electronic subscription, delivery in person.	A newsletter or an update circular sent out to Project stakeholders on a regular basis to maintain awareness of the Project development.	Important highlights of Project achievements, announcements of planned activities, changes, and overall progress.	residents and other interested parties in the selected target locations. Beneficiaries Committees, NGOs, and civil society
Printed advertisements in the media	Inserts, announcements, press releases, short articles or feature stories in the printed media – newspapers and magazines	Notification of forthcoming public events or commencement of specific Project activities. General description of the Project and its benefits to the community.	Residents and other interested parties (i.e., business owners and suppliers) in target locations
Visual presentations during consultation meeting	Visually convey Project information to affected communities and other interested audiences.	Description of the Project and related solutions/impact management measures. Updates on Project development.	All stakeholders
<b>Information Feedback</b>			
Information repositories accompanied by a feedback mechanism Materials can be made available in publicly accessible places such as local administrations, local implementing partner, and project website for the duration of a disclosure period or permanently.	Placement of Project-related information and printed materials in dedicated/designated locations that also provide visitors and readers with an opportunity to leave their comments in a feedback register.	Project Website with its various Project-related materials ESMF documentation Project GIS online platform Citizen engagement and TPM	Directly affected communities in the subproject sites
Dedicated telephone line (hotline), email	Providing the public with channels to obtain information, make enquiries, or	Any issues that are of interest or concern to the local communities and other	Local communities within the subproject

<p>and SMS messaging. Project designated staff will answer and respond to the calls, emails and messages.</p>	<p>provide feedback, through a designated and manned telephone line, as well email and SMS messaging. Initially, telephone numbers of Project's specialized staff can be shared with the public, particularly staff involved in stakeholder engagement, public relations and environmental protection.</p>	<p>stakeholders.</p>	<p>sites. Any other stakeholders and interested parties.</p>
<p>Internet/Digital Media Not all stakeholders have access to the internet, especially in remote areas</p>	<p>Launch of Project website to promote various information and updates on the overall Project, impact and progress, procurement and tender announcements, as well as on Project's engagement activities with the public. Web-site will include a GM form that allows viewers to leave comments or ask questions about the Project, and a GIS mapping platform that allows viewers to locate project activities and obtain updated information (i.e., progress status and photos, outputs, budget, duration, contractor; name).</p>	<p>Various Project-related documents and materials such as the PAD and ESMF, news and announcements as well as the project GIS platform</p>	<p>Affected communities, Project stakeholders and other interested parties that have access to the internet resources.</p>
<p>Surveys, Interviews and Questionnaires (Citizen Engagement and TPM) Questionnaires can be distributed during household visits.</p>	<p>The Project's citizen engagement and TPM in the target cities will include the use of surveys, interviews and questionnaires to obtain stakeholder views.</p>	<p>Description of the proposed Project and related solutions/impact management measures. Questions targeting stakeholder perception of the Project, associated impacts and benefits, concerns and suggestions.</p>	<p>Directly affected residents and interested parties in subproject sites. NGOs and civil society Other local communities within subproject sites</p>
<p>Grievance Mechanism Feedback &amp; Suggestion Box at appropriate locations in safe public places</p>	<p>As part of the Project GM, a suggestion box will be established at each project site and at UNOPS Offices to encourage residents in the affected communities to leave written feedback and comments about the Project. Contents of the suggestion box will be checked regularly by designated Project GM, to ensure timely collection of inputs and of response/action, as necessary.</p>	<p>Any questions, queries or concerns, especially for stakeholders that may have a difficulty expressing their views and issues during public consultations.</p>	<p>Directly affected residents and interested parties in subproject sites Other local communities within target locations</p>
<b>Consultation &amp; Participation</b>			

<p>Public consultations (citizen engagement) Targeted invitations are sent out to stakeholders.</p>	<p>Project representatives, the affected public, authorities, regulatory bodies and other stakeholders will conduct gender-sensitive consultations on planned Project activities.</p>	<p>Detailed information on the activities, including a presentation and an interactive Questions &amp; Answers session with the audience.</p>	<p>Directly affected communities in target locations. Other communities within target locations NGOs and civil society Residents in subproject sites</p>
<p>Household visits (citizen engagement and TPM)</p>	<p>Household-level visits can be conducted to solicit feedback from community members and vulnerable persons who may be unable to attend the formal public consultations.</p>	<p>Description of the Project and related solutions/impact management measures. Any questions, queries or concerns, especially for stakeholders that may have a difficulty expressing their views and issues during formal community-wide consultations.</p>	<p>Directly affected persons in subproject sites</p>
<p>Focus Group Discussions and Round Table Workshops (citizen engagement)</p>	<p>Used to facilitate discussion on Project activities that merit collective examination with various groups of stakeholders.</p>	<p>Project activities and plans, design solutions and impact mitigation/management measures that require detailed discussion with affected stakeholders.</p>	<p>Directly affected households in the subproject sites, youth, elderly, women, and other vulnerable groups. NGOs and civil society</p>
<p>Information centers and field offices</p>	<p>Project's designated venue for depositing Project-related information that also offers open hours to the community and other members of the public, with Project staff available to respond to queries or provide clarifications.</p>	<p>Project-related materials. Any issues that are of interest or concern to the local communities and other stakeholders.</p>	<p>Directly affected communities in target locations and any other stakeholders and interested parties.</p>
<p>Site visits and Tours</p>	<p>Visits to Project Site and facilities organized for local communities, authorities and the media to demonstrate Project solutions.  Visitors are accompanied by the Project's staff and specialists to cover various aspects and to address questions arising from the public during the tour.</p>	<p>Demonstration of specific examples of Project's design solutions and approaches to managing impacts.</p>	<p>Local communities within target locations Media groups. NGOs and other initiative groups.</p>

### 4.3 Proposed Strategy for Information Disclosure

29. UNOPS and its implementing partners will disclose Project information to the targeted stakeholder audiences. Key dates for information disclosure are at the start of the project, at mid-term as well as at the end of the lifespan of the project. UNOPS will translate the SEP, as well as the Project Environmental and Social Management Framework (ESMF), the Resettlement Framework, the Labor Management Procedures (LMP), the Gender based violence (GBV) Prevention and Response Action Plan into Arabic, and make hard copies in English and Arabic publicly available at its Project Office in Sana'a, as well as the UNOPS Project website, and through the websites of the implementing partner (RAP). These documents will remain in the public domain throughout Project preparation and implementation.
30. The SEP will be updated as necessary during Project implementation to include any new stakeholders that might be identified, and to revise methods of engagement to maintain their effectiveness and relevance to the Project.
31. UNOPS and its implementing partner will disclose information using a combination of different channels, as found suitable for each specific subproject. These can include face-to-face meetings where applicable, accompanied by information shared via radio, television, newspapers, posters, brochures and leaflets as well as via websites and social media.

**Table 3. Proposed Strategy for Information Disclosure**

Stakeholders	Information to be Disclosed	Methods
<i>Prior to Project Appraisal</i>		
Government authorities and agencies	<ul style="list-style-type: none"> <li>● Project Summary</li> <li>● ESMF, SEP, LMP</li> <li>● Security Management Plan,</li> </ul>	<ul style="list-style-type: none"> <li>● Dissemination of the E&amp;S instruments (paper or electronic)</li> <li>● Access to UNOPS web site</li> <li>● In person or virtual meetings</li> </ul>

	<ul style="list-style-type: none"> <li>● GBV Prevention and Response Action Plan</li> </ul>	<ul style="list-style-type: none"> <li>● Capacity building activities</li> </ul>
Non-governmental and community-based organizations (i.e. Beneficiaries Committees)	<ul style="list-style-type: none"> <li>● Project Summary</li> <li>● ESMF, SEP, LMP</li> <li>● GBV Prevention and response Action Plan</li> </ul>	<ul style="list-style-type: none"> <li>● Dissemination of hard copies at designated locations</li> <li>● Access to UNOPS web site</li> <li>● In person or virtual meetings</li> </ul>
General Public	<ul style="list-style-type: none"> <li>● Project Summary</li> <li>● ESMF, SEP, LMP</li> <li>● GBV Prevention and response Action Plan</li> </ul>	<ul style="list-style-type: none"> <li>● Access to UNOPS web site</li> <li>● Press releases in the local media</li> <li>● Information leaflets and brochures</li> <li>● Notification through local radio or TV News</li> <li>● Mosques</li> </ul>
Project direct workers	<ul style="list-style-type: none"> <li>● Project Operations Manual</li> <li>● Worker Grievance Procedure</li> <li>● GBV Prevention and response Action Plan</li> </ul>	<ul style="list-style-type: none"> <li>● Paper or electronic dissemination</li> <li>● In person or virtual meetings</li> </ul>
<b>Prior and during Subproject implementation</b>		
Local authorities, Beneficiaries Committees, and community leaders	<ul style="list-style-type: none"> <li>● Subproject proposal</li> <li>● Information required for the purposes of regulation and permitting.</li> <li>● ESHS requirements</li> <li>● ESMPs and any Resettlement Action Plans</li> <li>● SEP, including the Project Grievance Mechanism</li> </ul>	<ul style="list-style-type: none"> <li>● Paper or electronic dissemination</li> <li>● In person or virtual meetings</li> <li>● UNOPS web site</li> </ul>
Targeted beneficiaries and Project Affected Persons	<ul style="list-style-type: none"> <li>● Subproject proposal</li> <li>● Subproject ESMP</li> <li>● Resettlement Plan (if required)</li> <li>● LMP, SEP and GBV Prevention and Response Action Plan</li> <li>● Regular updates on Project development.</li> </ul>	<ul style="list-style-type: none"> <li>● Dissemination of hard copies at designated public locations.</li> <li>● In person consultation meetings.</li> <li>● Separate focus groups with vulnerable groups, as appropriate.</li> <li>● UNOPS web site</li> <li>● Press releases in the local media.</li> <li>● Information leaflets and brochures.</li> </ul>
Contractors and their workers	<ul style="list-style-type: none"> <li>● Tender/procurement announcements</li> <li>● Subproject ESMPs</li> <li>● ESHS requirements</li> <li>● Code of Conduct</li> <li>● Worker Grievance Mechanism</li> </ul>	<ul style="list-style-type: none"> <li>● UNOPS web site</li> <li>● In person or virtual meetings</li> <li>● In-person or virtual training</li> <li>● Signature of the Code of Conduct</li> </ul>
Related businesses and enterprises	<ul style="list-style-type: none"> <li>● Stakeholder Engagement Plan;</li> <li>● Public Grievance Procedure;</li> <li>● Updates on Project development and tender/procurement announcements.</li> </ul>	<ul style="list-style-type: none"> <li>● Electronic publications and press releases on the Project web-site.</li> <li>● Information leaflets and brochures.</li> <li>● Procurement notifications.</li> </ul>
<b>During Project Implementation</b>		

Government Authorities and Agencies	<ul style="list-style-type: none"> <li>Regular updates on Project development</li> </ul>	<ul style="list-style-type: none"> <li>In person or virtual meetings</li> <li>Correspondence and emails</li> <li>UNOPS web site</li> </ul>
Project Direct Workers	<ul style="list-style-type: none"> <li>Project updates</li> </ul>	<ul style="list-style-type: none"> <li>Emails to Project workers</li> <li>Regular in person or virtual meetings</li> <li>Posts on information boards.</li> <li>Reports, leaflets.</li> </ul>
Non-governmental and community-based organizations (i.e. NGOs, CSOs and UN agencies)	<ul style="list-style-type: none"> <li>Project updates</li> </ul>	<ul style="list-style-type: none"> <li>Project status reports</li> <li>In person or virtual meetings</li> </ul>

#### 4.4 Stakeholder Consultation Plan

32. In addition, UNOPS and its implementing partner will ensure that consultations are meaningful. Meaningful consultations are a two-way process that:

- Begins early in the project planning process to gather initial views on the project proposal and inform project design and selection criteria;
- Encourages stakeholder feedback, particularly as a way of informing project design and engagement by stakeholders in the identification and mitigation of environmental and social risks and impacts;
- Continues on an ongoing basis, as risks and impacts arise;
- Is based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information in a timeframe that enables meaningful consultations with stakeholders in a culturally appropriate format, in relevant local language(s) and is understandable to stakeholders;
- Considers and responds to feedback;
- Supports active and inclusive engagement with project-affected parties;
- Is free of external manipulation, interference, coercion, discrimination, and intimidation
- Is documented and disclosed.

33. UNOPS and its implementing partner will also:

- Provide advance public notification of meetings through publicly accessible locations and channels. Proof of notification should be kept.
- As necessary, directly invite relevant stakeholders (e.g., representatives of authorities, leaders of local communities)
- Draft an agenda for all meetings to provide a clear and itemized outline of the meeting's structure, sequence, chairpersons, the range of issues that will be discussed, and the format of the discussion
- Provide information in a format that is readily understandable to an audience of laypersons, and free of excessive technical jargon. Preference will be given to verbal and visual methods of communication (including presentations, pictorials, illustrations, graphics and animation) accompanied by hand-out materials imparting the relevant information in understandable terms. Where technical specifics of the project's particular activities or solutions are required to be delivered in greater detail, UNOPS and its implementing partner will ensure that the description of technical issues is adapted to their level of understanding.

- Ensure that presentations can be seen and heard by all participants. This might include the provision of a microphone, proper illumination, the use of a projector, and places allocated for wheelchair users.
34. UNOPS and its implementing partner will document all meetings to capture all comments received from the stakeholders, including by:
- Taking down the names and affiliations of all participants. Wherever possible, attendees' signatures will be obtained as a proof of their participation. Details of the attendees who were not initially on the list (e.g., those participating in place of somebody else, or general public) should be included in addition to those who have registered for the meeting in advance.
  - Assigning a person to take written minutes of the meeting
  - Recording the meeting
  - Taking pictures
  - Video recording the meeting where and when feasible
35. UNOPS will distribute feedback forms to participants, to capture the views and suggestions from persons who may have refrained from expressing their views or concerns in public. The feedback forms may include the following points:
- Participant's name and affiliation (optional)
  - How did they learn about the Project and the consultation meeting?
  - Are they generally in favor of the Project?
  - What are their main concerns or expectations/hopes associated with the Project or the particular activity discussed at the meeting?
  - Do they think the Project will bring some advantages to their community as a whole?
  - Is there anything in the Project and its design solutions that they would like to change or improve?
  - Do they think that the consultation meeting was useful in understanding the specific activities of the Project, as well as associated impacts and mitigation measures? What aspects of the meeting they particularly appreciated or would recommend for improvement?
36. Participants that might not be able to fill the evaluation form due to literacy constraints or concerns about its confidentiality, will be given the option of expressing their feedback verbally to a Project staff who will take notes.
37. The following table details the planned stakeholder consultation activities.

**Table 4. Stakeholder Consultation Methods**

Topic of Consultation	Method used	Timetable, Location and Dates	Target Stakeholders	Responsibilities
<b>Project Effectiveness</b>				
Project Scope, rationale, and selection criteria	Official meetings	In target locations/ sites, prior to Project effectiveness	<ul style="list-style-type: none"> <li>• Governorates</li> <li>• Local authorities</li> <li>• Local communities</li> </ul>	UNOPS Project Manager and local heads of implementing partner (RAP).
Environmental and Social Risk Management	<ul style="list-style-type: none"> <li>• In person and virtual meetings, and focus groups</li> <li>• Separate meetings for women and vulnerable</li> </ul>	In target location/ sites, prior to Project effectiveness (as soon as possible)	<ul style="list-style-type: none"> <li>• Local authorities</li> <li>• Local implementing partners</li> <li>• NGOs and CSOs</li> <li>• Community representatives</li> </ul>	ESSO, E&S focal points, GM focal points and Gender Officer
Project launch	Official meetings	In target locations/ sites, within one month after Project effectiveness	<ul style="list-style-type: none"> <li>• Governorates</li> <li>• Local authorities</li> <li>• Community Representatives</li> <li>• Local offices of implanting partner</li> <li>• NGOs, CSOs and UN agencies</li> </ul>	UNOPS Project Manager with support of ESSO, E&S focal points, GM focal points and Gender Officer
Disclosure of Project Environmental and Social Instruments (ESMF, Resettlement Framework, SEP, LMP, and GBV Prevention and Response Plan	Documents to be made publicly available and announced through the UNOPS web site <ul style="list-style-type: none"> <li>• Public meetings</li> </ul>	In target locations/ sites, within one month of Project effectiveness	<ul style="list-style-type: none"> <li>• Governorates</li> <li>• Local authorities</li> <li>• Local offices of implanting partners</li> <li>• NGOs, CSOs and UN agencies</li> <li>• Community Representatives</li> </ul>	ESSO, E&S focal points, GM focal points and Gender Officer
<b>Subproject Implementation</b>				
Subproject Selection and Rationale	Subproject proposal to be publicly announced Through the web sites of UNOPS and the concerned implementing partner <ul style="list-style-type: none"> <li>• Targeted meetings</li> </ul>	In target locations, prior to the start of activities	<ul style="list-style-type: none"> <li>• Local Authorities</li> <li>• Subproject affected persons and communities</li> <li>• NGOs and CSOs</li> </ul>	UNOPS or concerned implementing partner

	<ul style="list-style-type: none"> <li>● Outreach as required</li> </ul>			
Employment opportunities	In person public meetings	In target locations prior to the start of activities	Potential workers	Subproject engineer, with the support of UNOPS or concerned implementing partner ESHS Officers
<ul style="list-style-type: none"> <li>● Worker Grievance Mechanism</li> <li>● Code of Conduct</li> <li>● ESHS requirements</li> </ul>	In person meetings with contracted workers	In target locations, following contractor selection, but prior to start of works	<ul style="list-style-type: none"> <li>● Contracted Workers</li> <li>● Contractors</li> <li>● Community workers</li> </ul>	UNOPS or concerned implementing partner ESHS Officers, in collaboration with subproject engineer and procurement
Grievance Mechanism	In person public meetings and focus groups	In affected project sites before the beginning of works	<ul style="list-style-type: none"> <li>● Subproject affected persons or communities</li> <li>● Community Representatives</li> <li>● NGOs and CSOs</li> </ul>	UNOPS or concerned implementing partner
Vulnerability	Focused target groups	In affected project sites, prior to subproject activities, and throughout subproject implementation	Vulnerable groups such as: <ul style="list-style-type: none"> <li>● Elderly people</li> <li>● Veterans of war</li> <li>● Persons with disabilities</li> <li>● The poor</li> <li>● Women-headed households</li> <li>● Single mothers with underage children</li> <li>● The unemployed</li> <li>● IDPs and marginalized groups</li> </ul>	UNOPS or concerned implementing partner ESHS Officers
Economic Displacement	In person meetings, ensuring that all economically displaced persons are consulted	Throughout the resettlement and livelihood restoration process, starting before the start of works	People that might be temporarily economically displaced Potential encroachers	UNOPS or concerned implementing partner ESHS Officers
Project Status	Public meetings Radio, TV announcements	At least quarterly throughout subproject implementation, until the completion of all subproject related activities	<ul style="list-style-type: none"> <li>● Local Authorities</li> <li>● Subproject affected persons and communities</li> <li>● NGOs and CSOs</li> </ul>	UNOPS or concerned implementing partner ESHS Officers, in collaboration with subproject engineer and procurement

#### **4.5 Proposed strategy to incorporate the view of vulnerable groups**

38. UNOPS and its implementing partner will carry out targeted stakeholder engagement with vulnerable groups to understand their concerns and needs in terms of receiving information, accessing services, and other challenges they might face at home, at work places or in their communities. Special attention will be paid to engage with women as intermediaries.

## **5 Resources and Responsibilities for Implementing Stakeholder Engagement Activities**

### **5.1 Resources**

39. UNOPS' ESSO and the Environmental and Social Focal Points will ensure the implementation of the stakeholder engagement activities. The stakeholder engagement budget will be part of the Project Management Component. It will be determined once the overall Project budget has been agreed to with the World Bank.
- UNOPS is fully covering, as part of the fee that it will charge the Bank, the cost of the ESSO, the Gender Mainstream Office and a Grievance Mechanism (GM) focal point, as well as any associated operational costs.
  - The implementing partner is covering the cost of their respective E&S focal points and GM focal points as part of their respective Project Cooperative Agreement (PCA) with UNOPS.
  - The cost of due diligence for specific subprojects (preparation of the screening form, consultations, GM, preparation of ESMPs, and monitoring) are included in the costs/budget for each subproject. These costs are thus scalable to the level and scope of the potential risks and impacts, and might include the costs of consultants recruited by UNOPS or an implementing partner to assist on specific tasks.

### **5.2 Management functions and responsibilities**

40. UNOPS and its implementing partner will be responsible for carrying out stakeholder engagement activities. The stakeholder engagement activities will be documented through UNOPS' reporting and documentation as part of the project progress reporting requirements.

## 6 Grievance Mechanism

41. UNOPS has established and been managing a Grievance Mechanism (GM) to enable beneficiaries to communicate their concerns regarding the Project, building on existing Grievance Mechanisms put in place for the Yemen Integrated Urban Services Emergency Project II (YIUSEP II) and the Yemen Emergency Electricity Access Project (YEEAP) as well as Yemen Emergency Human Capital Project (YEHCP).
42. The GM details the procedures that communities and individuals, who believe they are adversely affected by the Project or a specific subproject or who have general inquiries, can use to submit their complaints, as well as the procedures used by UNOPS and its implementing partners to systematically register, track, investigate and promptly resolve complaints and respond to inquiries. The Project's GM will be used for both environmental and social issues (ESMF) and resettlement issues (RF).<sup>3</sup>
43. The UNOPS Program Manager based in the Sana'a Office has the overall responsibility to address Project activity-related complaints and inquiries from Project affected communities or individuals regarding any environmental or social impacts due to subproject activities. UNOPS will recruit a dedicated focal point in its Sana'a Office to handle Project activity-related complaints, who will be assisted by UNOPS' City Engineers in the target cities. Each of the three Implementing Partners will designate a GM focal point. UNOPS will coordinate with the local implementing partner and will set a unified timeframe for reporting

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<sup>3</sup> The Project's Resettlement Framework indicates that "throughout the resettlement process, the ESSO and the focal points would consult and sensitize PAPs and any relevant stakeholder to the types of compensation, valuation principles, and the Grievance Mechanism."

grievances.

## 6.1 Procedures for Complaints

### 6.1.1 Registering Complaints

Address	Haddah Street, former European Union Office Building, Sana'a
Hotline (Toll-Free)	8000-190
Email	<a href="mailto:gm-yemen@unops.org">gm-yemen@unops.org</a>
Website	<a href="http://www.unops.org">www.unops.org</a>

44. UNOPS is providing multiple access points to the GM focal point for beneficiaries to voice their concerns. These access points will be advertised at subproject level, and include: complaint box at Project activity sites, at UNOPS' offices in Sana'a, and by mail, telephone, email, and UNOPS' website:
45. Grievances can be brought up by affected people in case of: (i) non-fulfillment of contracts or agreements; (ii) compensation entitlements; (iii) types and levels of compensation; (iv) disputes related to destruction of assets or livelihoods; (v) disturbances caused by construction activities, such as noise, vibration, dust or smell. Anonymous complaints will be admissible.
46. The Implementing Partner and Project contractors will also keep a log of issues brought directly to their attention verbally or in writing by Project affected communities or individuals, and relay these concerns in writing to UNOPS on a next day basis. UNOPS will determine if these concerns rise to the level of a complaint.
47. UNOPS will register the complaint in a dedicated log, including a copy of the complaint and supporting documents. A draft template for registering grievances is found in Annex 1.
48. UNOPS will record and document complaints received in the subproject file and the subproject progress reports, including the number and type of complaints and the results of their resolution.

### **6.1.2 Tracking, Investigating and Resolving Complaints**

49. The GM log maintained by UNOPS will track the date the complaint was received, date responded to, the type of response, and if the complaint was resolved to the satisfaction of the plaintiff.
50. The GM Focal Point will coordinate with the implementing partner, local field staff and local government officials to ensure prompt follow up action in response to each complaint. More specifically, the GM focal point will for named complaints:
  - (i) inform the plaintiff if the complaint is accepted or rejected within one week of receiving the complaint; any technical input from Project engineers; if necessary, the response will require input from Project engineers
  - (ii) if the complaint is accepted, send the plaintiff an officially stamped review card indicating:
    - o plaintiff name or legal representative
    - o plaintiff address
    - o complaint title
    - o review date
    - o list of annexes submitted with the complaint
  - (iii) work with engineers, implementing partners, and contractors to resolve the complaint within 28 days of its submission.
51. When a complaint requires an urgent response, as in the case of an emergency, UNOPS will address as quickly as logistically possible.
52. UNOPS will include the log of complaints to the World Bank as part of UNOPS quarterly reporting to the World Bank.

### **6.1.3 Gender Based Violence**

53. The GM will address gender-based violence (GBV), sexual exploitation and abuse, and sexual harassment (SEA/SH) in a manner that avoids stigmatization, rejection, and reprisals against survivors. The GM will assist SEA/SH survivors by referring them to GBV service providers for support immediately after receiving a complaint directly from a survivor. The information in the GM relative to GBV/SEA/SH will be confidential, especially when related to the identity of the complainant.

54. UNOPS will also make the GM gender sensitive by recruiting female staff to:

- inform women about the project and its possible benefits to women, in a culturally sensitive manner
- inform women of the Project's GM and its procedures
- receive any project-related complaints from women

#### *Activating the Grievance Mechanism*

55. UNOPS will conduct a kickoff workshop involving the implementing partners and beneficiary representatives to inform them on GM procedures.

## **6.2 Grievance Mechanisms of the Implementing Partners**

### **6.2.1 RAP**

RAP will use the UNOPS GM for YELCP, until they establish their own Grievance Mechanisms

# 7 Monitoring and Reporting

## **7.1 Involvement of Stakeholders in Monitoring Activities**

56. As part of its Citizen Engagement, UNOPS will involve stakeholders in monitoring activities by actively engaging key project stakeholders in reflecting and assessing the progress of their project, and achieving the expected results. For this purpose, UNOPS will follow the core principles of Participatory Monitoring and Evaluation:

- Local people are active participants — not just sources of information.
- Stakeholders evaluate, outsiders facilitate.
- Focus on building stakeholder capacity for analysis and problem-solving.
- Process builds commitment to implementing any recommended corrective actions.

## **7.2 Reporting back to Stakeholders**

57. UNOPS and its implementing partner will keep stakeholders informed as the project develops, including reporting on project environmental and social performance, and implementation of the stakeholder engagement plan and grievance mechanism.

58. The SEP will be periodically revised and updated as necessary in the course of project implementation, in order to ensure that the information presented

herein is consistent and is the most recent, and that the identified methods of engagement remain appropriate and effective in relation to the project context and specific phases of the development. Any major changes to the project related activities and to its schedule will be duly reflected in the SEP.

59. The ESSO will prepare monthly summaries reports on public grievances, enquiries and related incidents, together with the status of implementation of associated corrective/preventative actions, and transmit these summary reports to UNOPS' Project Manager. The monthly summaries will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project's ability to address those in a timely and effective manner.
60. UNOPS will publish a produce standalone annual report on project's interaction with the stakeholders during the year.
61. The ESSO will also monitor the following Key Performance Indicators (KPIs) on a regular basis, including the following parameters:
  - number of public hearings, consultation meetings and other public discussions/forums conducted within the year
  - frequency of public engagement activities
  - number of public grievances received within a reporting period the year, including the number of those resolved within the prescribed timeline
  - number of press materials published/broadcasted in the local, regional, and national media
  - should continue to be reported to UNOPS until it determines the issue is resolved satisfactorily.

## Annex 1.

# Grievance Complaint, and Suggestion Form

نموذج لآلية التظلمات والشكاوى

### استمارة توثيق ومتابعة شكاوى المستفيدين

#### Documenting and Monitoring Complaints Form of Beneficiaries

		الاسم الثلاثي للمستفيد: Beneficiary Name	
Tel No. for رقم الهاتف للمتابعة follow up		رقم البطاقة الشخصية: .ID No	
		العنوان الدائم: Permanent Address	
		اسم النشاط المنفذ (مركز / وحدة) Name of activity under implementation	
المحافظة: Governorate	المديرية: District	القرية: Village	مكان تنفيذ النشاط: Place of activity under implementation
أخرى Other	مالية Financial	فنية Technical	إدارية Administrative
		نوع الشكاوى Complaint Type	

موضوع الشكاوى:

#### Complaint Subject

		الوضع الحالي: Current Situation	
		أسباب المشكلة: Reason of the problem	
توقيع صاحب الشكاوى: Complainant Signature		التاريخ: Date	

UNOPS/Sana'a – Tel: 8000190 - SMS:739888388 Email: GRM.yemen@unops.org...: الجهة التي يجب أن يقدم لها الشكاوى

.....  
:The entity which the complaint should be forwarded to

.....  
-الرأي في جدية الشكاوى:.....

Opinion on the seriousness of the complaint

.....  
-الجهة المحول لها الشكاوى :.....

The complaint transferred to

.....  
- المدة الزمنية اللازمة للبت في الشكاوى:.....

Time required for response

.....  
-مدى رضى المستفيد عن الاستجابة لحل شكواه:.....

Satisfaction of beneficiary in responding to his/her complaint

		الإجراءات المتخذة : Action taken	
		ما ترتب عليها من نتائج: The results of the action taken	
التاريخ: Date			

.....  
اسم مستلم الشكاوى ووظيفته:

Name of person received the complaint and his/her position

توقيع الموظف المختص/ Signature

..... : التاريخ Date