



UNITED NATIONS OFFICE FOR PROJECT SERVICES

REPUBLIC OF YEMEN

**YEMEN EMERGENCY LIFELINE CONNECTIVITY PROJECT
(ELCP)**

PROJECT OPERATIONAL MANUAL

Version 1

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ABBREVIATIONS AND ACRONYMS

APA	<i>Alternative Procurement Arrangement</i>
CEN	<i>Country Engagement Note</i>
CERC	<i>Contingency Emergency Response Component</i>
COVID-19	<i>Coronavirus Disease 2019</i>
CSO	<i>Civil Society Organization</i>
DCT	<i>Direct Cash Transfer</i>
DLA	<i>District Local Authority</i>
DNP	<i>Defect Notification Period</i>
DO	<i>Designated Official</i>
DOI	<i>Declarations of Interest</i>
EOD	<i>Executive Office Directive</i>
EOI	<i>Executive Office Instruction</i>
ESCP	<i>Environmental and Social Commitment Plan</i>
ESF	<i>Environmental and Social Framework</i>
ESMF	<i>Environmental and Social Management Framework</i>
ESMP	<i>Environmental and Social Management Plan</i>
ESS	<i>Environmental and Social Standard</i>
FCV	<i>Fragility, Conflict and Violence</i>
FM	<i>Financial Management</i>
FMFA	<i>Financial Management Framework Agreement</i>
GBV	<i>Gender-Based Violence</i>
GIS	<i>Global Information System</i>
GM	<i>Grievance Mechanism</i>
GRS	<i>Grievance Redress Service</i>
HQ	<i>Head Quarter</i>
HR	<i>Human Resource</i>
IDA	<i>International Development Association</i>
INGOs	<i>International Non-governmental Organizations</i>
IP	<i>Implementing Partner</i>
IR	<i>Invoice Receipt</i>
LMP	<i>Labor Management Procedures</i>
LNGO	<i>Local Non-governmental Organization</i>
LTA	<i>Long Term Agreement</i>
M&E	<i>Monitoring and Evaluation</i>
MIS	<i>Management Information System</i>
MoPWH	<i>Ministry of Public Works and Highways</i>
NGO	<i>Non-governmental Organization</i>
O&M	<i>Operations and Maintenance</i>

OHS	<i>Occupational Health and Safety</i>
PCA	<i>Project Cooperation Agreement</i>
PAD	<i>Project Appraisal Documents</i>
PAP	<i>Project Affected Party</i>
PDO	<i>Project Development Objective</i>
PMU	<i>Project Management Unit</i>
PO	<i>Purchase Order</i>
POM	<i>Project Operations Manual</i>
PPE	<i>Personal Protective Equipment</i>
PSEA	<i>Prevention of Sexual Exploitation and Abuse</i>
RF	<i>Resettlement Framework</i>
RFP	<i>Request for Proposal</i>
RFQ	<i>Request for Quotation</i>
SEA	<i>Sexual Exploitation and Abuse</i>
SEP	<i>Stakeholder Engagement Plan</i>
SH	<i>Sexual Harassment</i>
SLT	<i>Saving Lives Together</i>
SMP	<i>Security Management Plan</i>
SOP	<i>Standard Operating Procedure</i>
TOR	<i>Terms of Reference</i>
TPM	<i>Third-Party Monitoring</i>
UN	<i>United Nations</i>
UNGM	<i>United Nation Global Market</i>
UNOPS	<i>United Nations Office for Project Services</i>
WB	<i>World Bank</i>
WBG	<i>World Bank Group</i>
ELCP	<i>Yemen Emergency Lifeline Connectivity Project</i>

INTRODUCTION

The objective of this Project Operational Manual (POM) is to provide guidance on all operational procedures and implementation arrangements including processes, roles and responsibilities, and compliance procedures to implement the Yemen Emergency Lifeline Connectivity Project (ELCP) effectively. The United Nations Office for Project Services (UNOPS) is responsible for overall project implementation, in cooperation with a local Implementing Partner. The POM will guide UNOPS and its Implementing Partner to ensure that the project activities, subprojects, and components are implemented in accordance with the Project Financing Agreement (FA), Project Appraisal Document (PAD), the Project Financial Management Framework Agreement (FMFA), the project Environmental and Social Framework (ESF), and the Project Alternative Procurement Arrangements (APA), which are UNOPS applicable procurement policies, procedures, regulations, and practices.

As agreed by the World Bank and UNOPS, this POM may be revised from time to time during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances. In such circumstances, UNOPS shall agree to the changes with the World Bank and shall update and disclose the POM to reflect such changes. UNOPS will also ensure that the new version of the POM is available to its local Implementing Partner and Third Party Monitoring Agency (TPMA) working on the Project. The local Implementing Partner will transmit the new version of the POM to the appropriate staff in its organization. It is the responsibility of each stakeholder, including but not limited to local partners, consultants, and contractors, to ensure that only the latest version of the POM is used.

The POM has been divided into five Sections and 11 Annexes, covering processes related to project planning, implementation (including financial management and procurement), monitoring, reporting, and environment and social management. The POM is organized in the following way:

- Section I: Project definition, including background, objectives, results indicators, and project description.
- Section II: Implementation Arrangements (for UNOPS' self-implemented subprojects)

- Section III: Sectorial Implementation Arrangements, including details of activities undertaken by UNOPS' local partners in each sector.
- Section IV: Fiduciary Arrangements, including finance, procurement, and human resources arrangements
- Section V: Other Project Management Aspects, including risk management, monitoring & reporting, and environment and social management.
- Annexes: (supplementary information).

SECTION I: PROJECT DEFINITION

PROJECT BACKGROUND¹

The ongoing conflict in Yemen has made the country one of the worst humanitarian crisis spots. Since March 2015, Yemen has descended into a full-fledged military conflict focused on its major population centers where half of the country's 29.8 million people reside, resulting in significant loss of life, internal displacement, infrastructure destruction, and disruptions in service delivery throughout key sectors. The conflict caused an estimated 233,000 deaths, of which 131,000 from indirect causes such as lack of food, health services and infrastructure. By 2020, more than 3.6 million civilians have been displaced due to the conflict, including at least 158,000 in 2020 when the fighting intensified.

Provision of emergency physical access to basic needs is critical in the fight against the looming famine. More than 16 million people, mostly women and children are food insecure, of which about 15 million are suffering from acute hunger. Low food availability is caused by a combination of high dependency on food imports, high food prices, and considerably reduced household income. Owing to the conflict, key lifeline roads, rural and interurban alike, have deteriorated severely, limiting the ability to deploy humanitarian aid to those who need it most, constraining the flow of basic supplies, and thus limiting access to income opportunities. Only 47 percent of Yemen's rural households live within two kilometers of all-weather roads, a much lower percentage compared to the regional average of 68 percent. Compounded by low purchasing power of households to buy daily food needs, people's lack of access pushes millions, mostly women and children, into famine.

Fuel shortages exacerbated the humanitarian situation, reducing essential services and the transport of essential goods, constraining access to income opportunities and restricting the humanitarian operation. Compounded by low purchasing power of households to buy daily food needs, unhindered access to people mean famine is a possibility for millions of people, mostly women and children who are already hungry. Because of transportation issues, most malnutrition cases from distant locations did not survive. Because their normal routes have been cut off by the war, they are frequently forced to travel other routes that are longer, tougher, and more hazardous.

¹ The Background section is borrowed from the Project Appraisal Document

Transport and logistic costs play a crucial role in the price of food to the consumer. In environments such as rural villages where food items are transported in small volumes, the share of transport and distribution cost is about 13 percent of the food price. This is a statistic from middle-income countries where transport infrastructure is well developed, and logistics are efficient with high economy of scale. In Yemen, the state of the road network is largely in poor condition resulting in increased transport and logistics costs.

Road transport cost increase is strongly related to damages due to conflict and sustained deterioration due to neglect of maintenance. The transport price (per ton-km) decreases with the increase in percentage of paved roads. This is highly pronounced in rural roads where the Implementing Partners are limited, and the market is less competitive. The rural poor pay exorbitantly high fares to travel from the village to the nearest district centers in Yemen. These can be as high as US\$30 for a single trip with the only available four wheel-drive (4WD) trucks, which can revolve better around the dilapidated road accesses.

Private sector capacity in transport needs to be increased. The growth of the private sector had been in a healthy trajectory during the period up to 2015. A diverse set of private road construction, maintenance contractors, and engineering firms have emerged with a cadre of qualified road specialists with good understanding of the special physical and human constraints of Yemen, despite the need for more qualified and well-trained engineers in the transport sector. However, the private sector has not matured to a level enough to mobilizing finance to the road sector, nor has there been a legal and regulatory environment conducive enough to attract private capital in the sector. It is necessary to explore avenues through which private capital could be mobilized to rural transport services, rural transport logistics, etc. while supporting the government to set up/strengthen the regulatory and legal frameworks.

The proposed Project, ELCP, is aligned with the World Bank Group (WBG) twin goals of ending extreme poverty and boosting shared prosperity in a sustainable manner. Provision of all-weather roads access to essential services and job opportunities will improve income, hence living conditions of the poorest rural communities sustainably. The Project contributes to the WBG Middle East and North Africa (MENA) enlarged strategy pillar on recovery and reconstruction through its focus on

rehabilitation of lifeline rural access roads and their maintenance through private sector participation. The Project operation is also consistent and builds on both objectives of the Yemen Country Engagement Note (CEN) 2020-21. While emergency road maintenance ensures unimpeded access to basic services, it also creates the much-needed employment and entrepreneurship skills for the rural poor.

The financing instrument of the project is Investment Project Financing with an operational life of three years and eleven months. The last twelve (12) months are set aside for management to carry out the Defects Notification Period (DNP) for rural access road rehabilitation works and the last year of routine maintenance works for rural and village access roads under the IDA Grant. The project will be financed by a US\$ 50 million equivalent IDA grant to UNOPS as recipient and implementing agency of the proposed project. UNOPS will implement the Project with due diligence and efficiency and in conformity with appropriate administrative, financial, technical, Environmental and Social Safeguards Standards and practices, and in accordance with the Financing Agreement (FA), Project Appraisal Document (PAD), the Project Financial Management Framework Agreement (FMFA), the project Environmental and Social Framework (ESF), and the Project Alternative Procurement Arrangements (APA), which are in line with UNOPS procurement policies, procedures, regulations, and practices.

The activities for the Project will be implemented by UNOPS and supported by Rural Access Program (RAP) as a local Implementing Partner. UNOPS, as needed, will also engage in coordination with the relevant UN agencies that are implementing programmes on behalf of the World Bank in Yemen, as well as with the local communities in areas where the activities will be implemented.

PROJECT DESCRIPTION

PROJECT DEVELOPMENT OBJECTIVE (PDO)

The proposed project development objectives are to provide climate resilient road access and employment and entrepreneurship opportunities to the food insecure rural population of Yemen.

PDO Level Indicators

- (i) Decreased transport prices of food and essential commodities to villages connected by the project and the nearest market (percent);
- (ii) Reduced travel time to the nearest center for humanitarian food aid center, market, school (Percent)
- (iii) Number of rural populations with all-weather access to markets and critical social services due to Project interventions (number- female/male);
- (iv) Number of labor days generated through direct employment by the Project (number- female/male/ female headed household);
- (v) Reduced fatalities along project roads (Percent)

The project seeks to contribute toward addressing road access to food and other humanitarian needs, and employment, whilst laying the foundation to (i) build resilience to climate change induced vulnerabilities, (ii) reduce gender gaps, and (iii) build the capacities of the Road Access Program (RAP) and the Road Maintenance Fund (RMF) through a dedicated capacity building program.

PROJECT COMPONENTS

Component 1 Rural and Village Access Roads Improvement and Maintenance

- ***Component 1.A. Rehabilitation of Lifeline Rural Access Roads (US\$ 32.5 million)***. This component seeks to improve the resilience of the targeted rural roads to climate change, the road network that sustains rural population's access to markets, social services and connectivity. The focus is on achieving safe and reliable flow of goods and passengers. The proposed upgrading and rehabilitation interventions would include upgrading the pavement surface to asphalt standards, the construction of new, or the rehabilitation of existing drainage structures, such as stone-masonry and reinforced concrete culverts, protection works, rip-rap, stone-paving of ditches and shoulders utilizing locally available construction materials to maximize job creation, improve sustainability and minimize life-cycle maintenance costs and to strengthen their resilience to climate change and extreme weather events. The subcomponent will finance the following:
 - (i) Rural access road (RAR) upgrading (150 km)
 - (ii) Installation of Bailey bridges

- (iii) Studies, designs, production of tender documents and independent supervision of the civil works.

The Project will upgrade existing earthen rural access roads to a 6 m wide asphalt concrete surfaced roads. The works will be executed within the right-of-way of existing roads and will include: (i) paving road surfaces and building granular shoulders, (ii) providing new or upgrading existing longitudinal and transverse drainage structures, (iii) treating slopes with bioengineering solutions wherever practical, maintaining and rehabilitating stone masonry and building concrete protection structures and retaining walls.

- **Component 1.B. Employment-Intensive Road Maintenance (US\$ 6.3 million).** This component would support:
 - (i) creation/strengthening of microenterprises (ME)
 - (ii) training MEs
 - (iii) labor-intensive maintenance of rural and village access roads through MEs (about 60 km village access roads (VAR) and 150 km rural roads)
 - (iv) consultancy services for studies, preparation of training modules, designs, production of tender documents and independent supervision linked to the civil works.

The Project will introduce a labor-intensive approach using Micro Enterprises (MEs) to carryout routine maintenance of the RARs and the VARs using traditional or simplified performance-based contracts, where possible and local contractors' capacity permitting, for a period of two years. The technical standards of the maintenance and rehabilitation works are designed to maximize the labor content while also ensuring quality of works and the use of established standards. The estimated labor content of road works, as a percentage of contract value, ranges between 50-60% for roadway surface works, and for drainage and protection works, and could reach 50-60 % for routine maintenance and slope stabilization works. To operationalize the approach, the project will mobilize local communities to form MEs and provide it with training on entrepreneurship, road routine maintenance requirements, and bidding and contract management. The implementation of this activity would be in collaboration with the Small and Microenterprise Promotion Service (SMEPS). Based on the ToR, SMEPS will provide technical support in promoting, establishing, strengthening Yemenis MEs and engage them in labor-intensive rural road maintenance aiming at providing MEs with entrepreneurship opportunities

to the MEs as well as job opportunities to the poor people in the area.

The selection of activities will be based on a multi-criteria selection and prioritization framework, developed by RAP and specified in the Project Appraisal Document (PAD). The selection parameters include; among others, level of accessibility, population, poverty, cost/benefit, per capita cost. The proposed project will consider vulnerability to climate change, food security and conflict (FCV) to refine the currently prioritized list of road projects.

Component 2 Strengthening Management Capacity of Transport Sector Public Institutions (US\$ 3.03 million)

Building on the recent assessment of Yemen's national institutions to support transition to national project implementation, this subcomponent would finance:

- (i) Strengthen project management capacities of the Road Management Fund (RMF) and the Rural Access Program (RAP), aiming to progressively takeover implementation responsibilities
- (ii) Support 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. This will be done through a technical assistance consultancy including targeted training, as well as equipment and knowledge acquisition.

To ensure the long-term sustainability of project investments, adaptation measures to climate change impacts, such as more frequent extreme heat, drought and extreme precipitation/flooding events, which are likely to take place in Yemen, would be mainstreamed into infrastructure design, management and maintenance.

Component 3 Project Implementation and Monitoring Support, Studies and Preparatory Activities (US\$ 7.97 million)

This component would support project management, monitoring and evaluation (M&E) to ensure that the Project is successfully and efficiently implemented and various studies and analytical works that

will inform and underpin future sector investments. The component would finance: (i) UNOPS' general management support (indirect) costs and direct project management and oversight costs, (ii) project monitoring and evaluation activities by Third Party Monitoring Agent (TPMA), and (iii) 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.

Component 4 Contingent Emergency Response (to be capitalized in case of emergency)

The objective of this component is to improve the country's response capacity in the event of an 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 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).

PROJECT BENEFICIARIES

Beneficiaries include physically isolated rural population who have been denied access to income opportunities, food, and humanitarian support, thereby suffering from lack of access to food and essential commodities. The project beneficiaries will be: (a) Rural poor village populations connected by project roads, a large fraction of whom are women living in areas which currently suffer from a lack of access to food, humanitarian support, facilities and economic developmental options (b) women and children in rural areas, through reductions in transport and time and costs needed to meet basic human needs, such as food, motherhood and childhood clinics, and accessing education and health facilities; moreover, improved roads will facilitate the distribution of gas cylinders to remote areas, thereby reducing the time spent on, and demand for, environment-damaging collection of firewood, (c) rural shopkeepers and traders, through improved access to wholesalers, through more

reliable transport and lower transport costs. It is to be noted that these short-haul carriers are already highly competitive; this makes it likely that transport savings will actually be passed on to the consumer, (d) road users and small transporters serving the rural areas, through improved travel conditions, time savings and reduced vehicle operating costs, (e) private sector contractors and consultants, who will benefit from business opportunities provided by the project, and project-sponsored capacity-building activities; and (f) the rural population at large, through better access to markets and services and lower transport costs.

PROJECT RESULT INDICATORS

The project has the following result indicators to be achieved during the implementation of the project activities.

Indicator Name	PB C	Baseline	End Target
Improved all-weather access			
Number of population with all-weather access in the targeted rural communities (Number)		0.00	575,000.00
Number of female population benefitted (Number)		0.00	281,750.00
Number of male population benefitted (Number)		0.00	293,250.00
Reduced number of days of climate-induced travel interruptions along project roads per year (Number)		7.00	2.00
Reduction of travel time			
Reduced vehicular travel time to the nearest center for humanitarian food aid center, social services including education, health and community centers (Percentage)		0.00	15.00
Reduced time to the nearest food aid center (Percentage)		0.00	15.00
Reduced time to the nearest market center (Percentage)		0.00	15.00
Reduced time to the nearest school (Percentage)		0.00	15.00
Employment creation			
Number of labor days generated through direct employment by the Project (Number)		0.00	1,050,000.00

Indicator Name	PB C	Baseline	End Target
Labor days - females (Number)		0.00	50,000.00
Labor days - males (Number)		0.00	1,000,000.00

Intermediate Results Indicators by Components

Indicator Name	PB C	Baseline	End Target
Rehabilitation of Lifeline Rural Access Roads			
Roads rehabilitated (CRI, Kilometers)		0.00	150.00
Roads rehabilitated - rural (CRI, Kilometers)		0.00	150.00
Surface area of slopes stabilized through bio-engineering methods (Square Meter(m2))		0.00	100,000.00
Bailey bridges procured and/or installed (Number)		0.00	3.00
Number of traffic calming arrangements within the vicinities of schools, clinics, and markets (Number)		0.00	15.00
Employment-Intensive Road Maintenance			
Kms of Rural Roads maintained (Kilometers)		0.00	210.00
Kilometers of rural access roads maintained (Kilometers)		0.00	150.00
Kilometers of village access roads maintained (Kilometers)		0.00	60.00
Microenterprises created and trained (Number)		0.00	20.00
Number of female owned microenterprises (Number)		0.00	4.00
Strengthening Management Capacity of Public Transport Sector Institutions, Studies and Preparatory			
Number of RAP and RAP staff trained in project implementation (Number)		0.00	50.00
RAP assigned first phase implementation support tasks (Text)		No Tasks assigned	Phase 1 tasks assigned
RAP assigned second phase implementation support tasks (Text)		No tasks assigned	Second phase tasks assigned
RAP MIS revived (Text)		Non functioning MIS	MIS system revived

Indicator Name	PB C	Baseli ne	End Target
RMF's Roads Asset Management System revived (Text)		Non functioni ng RAMS	RAMS made up to date and functional
Females internship provided in road maintenance (Number)		0.00	25.00
Beneficiary Satisfaction Index (BSI) (Number)		0.00	4.00
Project Implementation and Monitoring Support			
Third Party Monitoring Agent hired (Text)		No monitori ng agent	TPMA hired and commenced assignment

SECTION II: IMPLEMENTATION ARRANGEMENTS

ROLES AND RESPONSIBILITIES

The local Implementing Partner, RAP, will have varying levels of responsibility and authority when participating in project activities, which will evolve over the course of the project life cycle. Its responsibility entails management, preparation/reviewing technical designs, coordination and supervision, as well as contributions to communications and sensitization, citizens' engagement, monitoring and reporting. Since ELCP will be implemented by UNOPS, which will act as the recipient of IDA funds and alternative implementation agency on an exceptional basis under the Financial Management Framework Agreement (FMFA), UNOPS will follow its own procurement procedures as Alternative Procurement Arrangements (APA) allowed by the World Bank's Procurement Framework Policy Section III.F.

Figure 1. Project Roles and Responsibilities Matrix

Project Activities	WB*	UNOPS **	RAP ***
ESS and ESCP	↑	↑	
Operational Manual (POM)	↑	↑	
Needs identifications/ Investment Plan	↑	↑	↑
Procurement Plan	↑	↑	
Design of solutions/packages/estimated costs		↑	↑
Site-specific ESMPs Preparation		↑	↑
Site-specific ESMPs Approvals	↑	↑	
Procurement (Tendering & Contracting)		↑	
Finance (Contract payments)		↑	
Contract Administration (Supervision)		↑	↑
Cost Variation Approvals	↑	↑	
Subprojects Taking over and Completion		↑	↑
Subprojects Monitoring		↑	↑
WB Reporting		↑	
TPM TOR	↑	↑	
TPM Reporting	↑	↑	

*Clears and Approves

**Responsible and Accountable

***Responsible

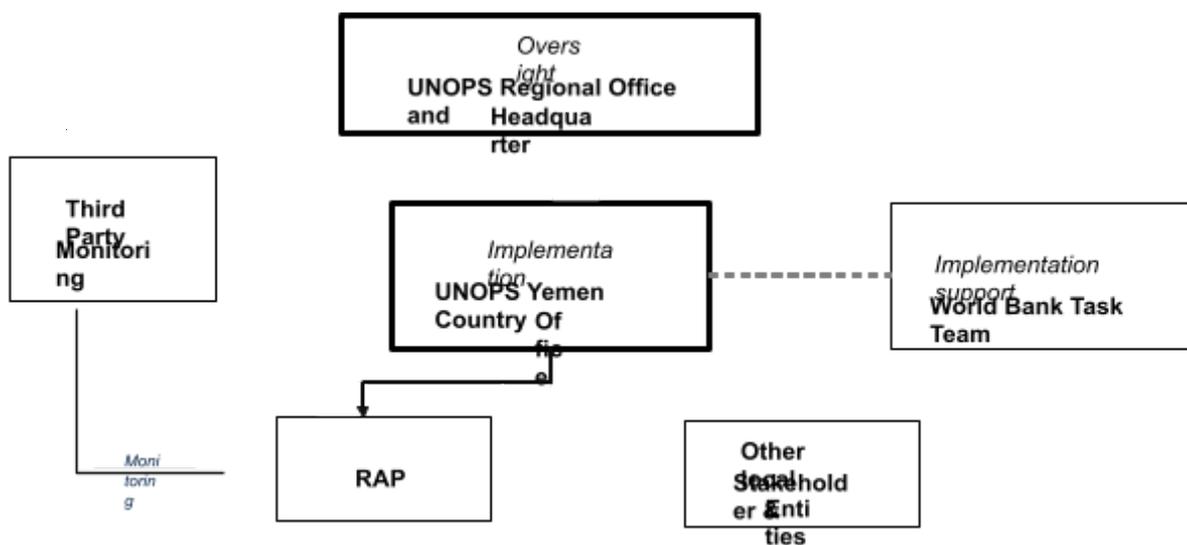
As a result, UNOPS holds the overall fiduciary responsibility as well as for the full management of the project, including financial and risk management, HSSE management, quality assurance, monitoring and report, coordination of new investments, and stakeholder management. UNOPS Project Management will be expected to provide technical updates during implementation, which is usually a role played by the government/ authorities. UNOPS will also be responsible for implementing the Social and Environmental Standards and practice in accordance with the project ESCP, and will utilize local capacities to the extent possible, throughout the project implementation. In this regard, UNOPS will assess the capacities of the local Implementing Partner to deliver on project activities, and, in consultation with the World Bank, and will assign resources to be utilized by the local Implementing Partner on an annual basis. In order to ensure alignment with other activities funded by the World Bank in Yemen, UNOPS will coordinate with the relevant UN agencies, with special attention to the activities that are ongoing in the sectors covered by this project.

UNOPS IMPLEMENTATION AND OVERSIGHT

The project will be implemented by UNOPS through direct implementation as well as a project cooperation agreement between UNOPS and Rural Access Program (RAP). UNOPS will: (a) take responsibility for project implementation; (b) monitor the project targets and result indicators in coordination with the local partners; (c) handle relevant procurement, financial management, and disbursement management including the preparation of withdrawal applications under the project; (d) require the local implementing partner, through its partnership agreement and regular monitoring, to ensure that the Project is carried out in accordance with the Environmental and Social Standards, in a manner consistent with the Project ESCP and the ESF instruments prepared for the project; and (e) ensure that all reporting requirements for IDA are met per the Project Financing Agreement. Figure 2 below describes the project governance and management structure to be put in place under the project.

The UNOPS office in Sana'a hosts a project management and implementation support team consisting of a project manager, an operations specialist, local engineers, Field Security Advisor, HSSE specialist, IT officer, an environmental and social officer, communication officer, a gender mainstreaming and GBV officer (with skills and experience in gender based violence (GBV) issues, gender mainstreaming in infrastructure projects), community mobilizer in small and medium enterprise centered schemes, an M&E specialist, a procurement specialist and an officer, financial management specialist and an assistant, and an administrative officer.

Figure 2. Project Governance and Management Structure



UNOPS has its Operational Hub, as well as the Regional Office in Amman, Jordan, that provides technical, operational and management support and advice, as needed, as well as oversight.

The UNOPS Operational Hub in Amman hosts the Senior Quality Engineer who supports the project team during the implementation of the infrastructure activities with a focus on quality assurance and quality control. In addition, the Hub has a Project Management Office (PMO) who provides support,

guidance and advice to the project team as needed with respect to monitoring and control, UNOPS compliance, best practices and knowledge management. The Hub also has a Health and Safety Specialist who fosters a safe and healthy work environment through facilitating compliance with UNOPS HSSE requirements as well as providing guidance on preventive measures to reduce OHS risk to a level that is as low as reasonably practicable. The Hub also hosts a Gender Specialist who supports the project team in the preparation of project-specific action plans and full compliance with gender requirements and objectives. The Regional Office has a Regional Oversight and Management Advisor who oversees the operations in the region and provides management advice to the Regional Director. The Regional Office is also supported by the UNOPS headquarters based in Copenhagen, Denmark, which provides global corporate oversight and program support.

WORLD BANK IMPLEMENTATION SUPPORT AND OVERSIGHT

The World Bank task team, in close coordination with the Yemen Country Management Unit, will conduct scheduled implementation support through UNOPS in Amman for the Project. The World Bank team will closely coordinate with UNOPS on a regular basis for the implementation and overall oversight of the Project, and will: (a) review implementation progress and achievement of the PDO and intermediate indicators; (b) provide technical support related to implementation, achievement of results, and capacity building; (c) closely coordinate with UNOPS to ensure that adequate oversight mechanisms are in place; (d) discuss relevant risks and mitigation measures; and, (e) monitor the overall project performance through progress reports, financial reports, and “reverse” implementation support mission with UNOPS Amman and its local partners. Additionally, regular video conferences will be conducted to coordinate project management.

Bank supervision will be enhanced through a multi-pronged approach that enables it to verify outputs to an acceptable degree of confidence as it were on-the-ground supervision. The approaches include: (i) reviewing the reports from the Third-Party Monitoring Agent (TPMA) engaged by UNOPS; (ii) conducting more frequent reverse and virtual missions, (iii) deploying state of the art technologies to better monitor technical and fiduciary aspects of the project remotely; including the use of 360-degree geocoded video recording (VR), Geocoded surface condition measurement, Geocoded photos of Core tests, Collect monitoring platform being developed by UNOPS, etc. Project reports from UNOPS and

the TPM agent would include geotagged visuals in the form of photographs, videos and 3D images to demonstrate the changes before and after project interventions.

THIRD PARTY MONITORING AGENCY (TPMA)

UNOPS will engage a TPMA to undertake the dual role of (i) independent results verification of project outcomes leading to documenting achievement of the PDO and (ii) the review of the quality of rural road rehabilitation designs, quality of executed works, procurement of goods and consulting services for conformance with quality norms and with performance criteria as described in the relevant project documents, procurement contracts and the standards of professional practice especially in contract management and administration. The TPMA will, therefore, verify on the ground the status of progress in the implementation of activities and the technical quality of the outputs, employment opportunities created, kilometers of roads upgraded, rehabilitated and/or maintained, capacity development of RMF and RAP achieved; and will also collect data on outcome and intermediate results indicators, and monitor compliance of fiduciary and social and environmental processes by the local partners and the vendors. As an extended supervision arm to the Bank, the TPMA shall be provided by UNOPS and its contractors, subcontractors and supervision consultants, with unlimited access to all relevant project information and documents and will attend project meetings as an observer. The Bank will also conduct an in-depth review of the entire implementation process of selected subcomponents of the project (both completed and in progress) in the light of the reports issued by the TPMA consultant.

LOCAL IMPLEMENTING PARTNERS

While retaining overall responsibility for implementation, fiduciary and safeguards aspects of the project, UNOPS will work with a local partner (RAP) for the implementation of project activities. The RAP, created through World Bank and other international donor interventions, has years of experience in implementing IDA investments, and has a good implementation record. In addition, this national institution will play a critical role in coordinating with local stakeholders, identifying initial investments, and preparing initial specifications, as well as carrying out the assigned activities as per Fig 1 in accordance with the Project Operation Manual and related procurement plan and the respective updates. UNOPS will retain overall responsibility for project implementation.

Rural Access Program (RAP)

The RAP is an autonomous agency of the Ministry of Public Works and Highways (MoPWH). It was created under the Phase I Project of the Rural Access Program funded by the World Bank. It is staffed by well trained, experienced staff, recruited competitively, and provided with alternative work conditions and benefits. It has fully proved its capability. It has developed sound work methods, procurement and financial management systems since its establishment. It has evolved into the national agency for implementation of rural roads programs and consequently implemented the first and second phases of the Rural Access Program.

ELCP PROJECT TEAM

UNOPS will provide all management and technical expertise in order to effectively manage and ensure the quality of all project deliverables. The project team will be led by an experienced Project Manager and will be based in Sana'a, Yemen.

Project Manager (PM): Project Manager provides overall strategic direction and ensures a programmatic approach of activities. S/he will be responsible for successful implementation and delivery of projects. The PM will ensure effective coordination among key stakeholders (PMUs, the World Bank, UNOPS, and other entities such as NGOs and UN agencies) and will maintain close oversight on project implementation in close collaboration with the implementing partners.

Finance Unit: The functional objective of the Finance Unit is to ensure efficient and effective financial management of funds in line with UNOPS principles, financial rules and regulations, so as to achieve the outcomes of the project. The Unit will ensure effective and accurate financial resources management (budget preparation, monitoring and control, treasury, accounts, payments), oversight and ensure implementation of operational strategies and procedures.

Finance and Operations Manager: The Finance and Operations Manager will be responsible for planning, expenditure tracking, and audit of the project's financial and operational resources, in accordance with UNOPS financial rules and regulations. In addition, s/he will be responsible for oversight of cash management processes, including liquidity management, risk assessment, relationship management with local banks, timely accounting, and reconciliation of all transactions.

Finance Assistant: The Finance Assistant will provide support to the Finance and Operation Manager, in particular during budget preparation, review of project expenditure reports, supporting documentation and operational transactions processes. S/he will be working under the direct supervision of the Finance and Operations Manager.

Information Technology Unit: The IT Unit is responsible for the information technology and communications-related services and functions to support the Yemen office in managing its operations. In particular, the IT Unit is responsible for all ICT systems, networks, hardware, and software in the Yemen office and ensures that they remain operational while providing reliable ICT services in support of the project.

IT Officer: Under the supervision of the Project Manager, the IT officer will be responsible for ICT Management, Applications, Network Administration, Telecommunications, Supervisory responsibilities (applicable if supervising staff), and Knowledge building and knowledge sharing.

Procurement Unit: Procurement Unit is responsible for all matters of procurement and supply chain management of goods, services, and works related to the Project.

Procurement Specialist: The Procurement Specialist will provide expertise, support, and technical advice on the project's overall procurement strategy and procurement-related activities, in order to obtain the best value for money, while ensuring compliance of the procurement activities with the UNOPS rules and regulations.

Procurement Officer: Under the direct supervision of the Procurement Specialist, the Procurement Officer will be responsible for implementing the project's procurement strategies, management of procurement processes, implementation of sourcing strategy and e-procurement tools, and facilitation of knowledge building and knowledge sharing.

Communications Officer: Under the overall guidance and supervision of the Project Manager, the Communications Officer will be responsible for developing and rolling out the Project

Communications and Stakeholder Engagement Strategies, preparing factsheets, press releases, and reports.

Environmental and Social Safeguards Officer: Reporting to the Project Manager, this role will provide overall social and environmental management oversight during the implementation of the project. S/he will support and advise the Project Manager in addressing social and environmental issues during the project implementation stages. This role will implement the Environmental and Social Management Framework, as well as the Resettlement Policy Framework, developed for the project. S/he will also coordinate relevant training/awareness-raising and coordination activities with all stakeholders (PMUs, the communities/ beneficiaries, local corporations, NGOs and the World Bank).

Gender Mainstreaming Officer: Reporting to the Project Manager and HUB Gender Specialist, this role will provide overall Gender mainstreaming and Gender safeguarding oversight during the implementation of the project. S/he will support and advise the Project Manager in addressing Gender equality and Gender safeguarding during Project implementation stages. This role will develop and implement the gender mainstreaming Action Plan as well as Sexual Exploitation and Abuse Prevention and Response Action Plan for the project. S/he will also coordinate relevant knowledge sharing, training/awareness-raising and coordination activities with all stakeholders (UNOPS personnel, PMUs, the communities/ beneficiaries, local corporations, Clusters, Networks, NGOs and the World Bank).

Health and Safety Specialist: Health and Safety Specialist will be responsible to manage HSSE aspects and promote a culture of compliance and accountability as per the established procedures and policies for occupational health and safety.

Monitoring and Evaluation (M&E) Officer: M&E Officer will be responsible for developing and implementing the project's M&E framework. S/he will guide and advise the PMUs in effective monitoring and evaluation practices and approaches, while ensuring that evaluations are impartial and independent, including updating subprojects status in the GIS platform.

Project Officers: Project Officers will be based in the target sites. Project officer will support the Project Manager in ensuring an integrated programmatic approach of interventions at site level. S/he will coordinate with relevant PMUs, sector technical leads, and other key stakeholders to ensure effectiveness of interventions.

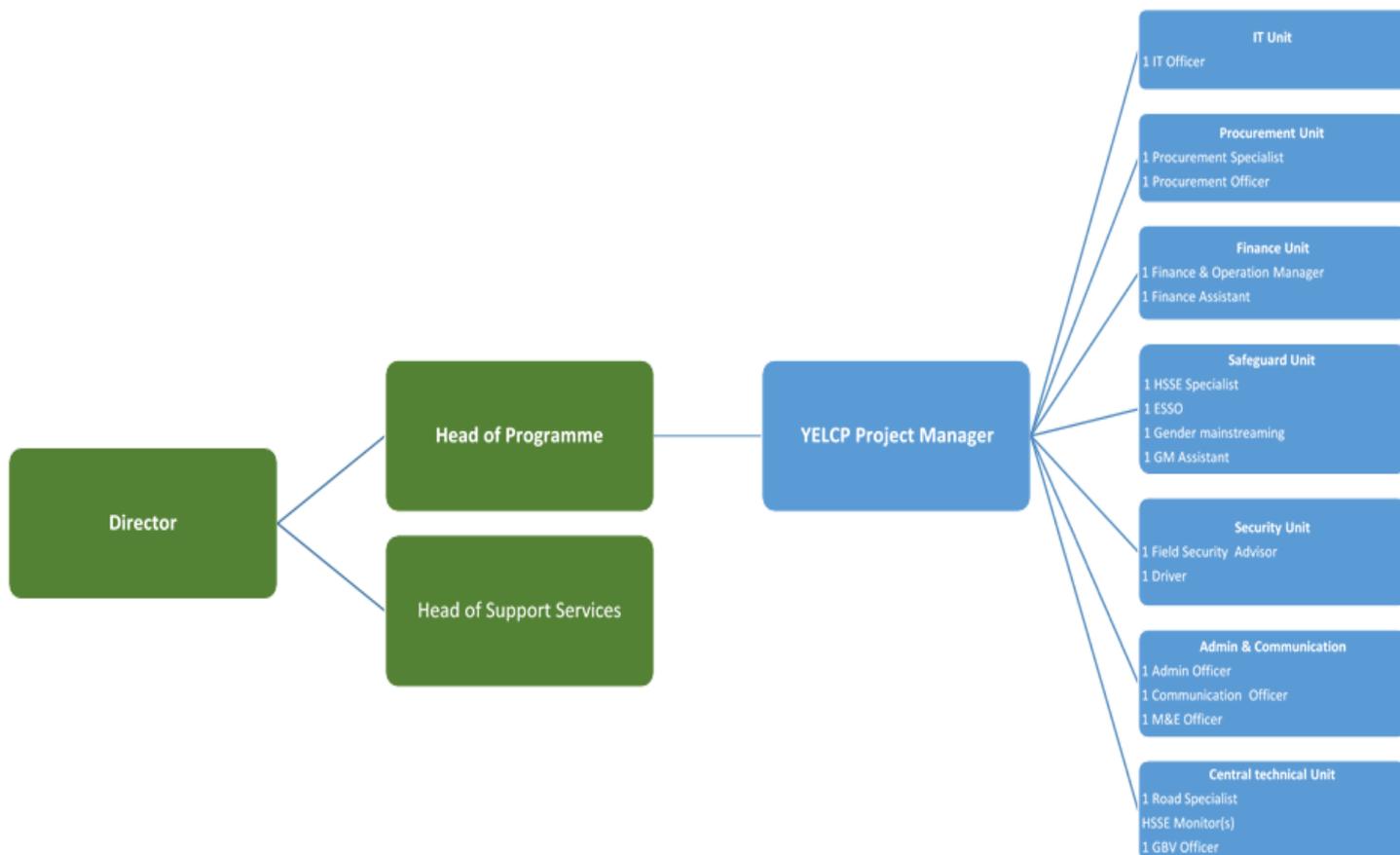
Security Unit: The Security Unit provides overall advice to staff on safety and security-related matters and their impact on the project design, implementation, and funding. In line with UN Security Management System (UNSMS) methodology and in cooperation with the UN Department of Safety and Security (UNDSS), the unit develops as required security risk assessments outlining potential risks and recommended mitigation strategies regarding project implementation taking into consideration relevant and existing assessments. The Security Unit will consist of international Security Advisor and local security assistants. Local security assistants will be based in major cities to support operations on the ground and will be hired only on a need basis.

Central Technical Unit: The unit will be based in Sana'a whose tasks are to work closely with RAP and to supervise the implementation of the project activities at sites. It consists of technical specialists recruited on need basis to increase the capacity of UNOPS local partner, e.g. Road Specialist, GBV Specialist, and HSSE Monitors to work closely with RAP and other specialists as/when needed. All specialists will spend most of their working time with RAP and at sites to improve the quality of technical documents prepared by RAP and the implementation of project activities. Those local specialists will also participate in the technical assessment of bids during the procurement process.

Admin Officer: Under the direct supervision of the Project Manager, the Admin Officer provides overall support to management on the administrative related issues, including management of premises, Project administrative services, management of office vehicles and transportation.

GM Assistant: GM Assistant will be the focal person to receive and handle all GM related complaints from various mediums. S/he will disseminate the information to the concerned project staff and follow-up for resolution and final closure of complaints.

Figure 3: Project Organogram



Jordan

Yemen

SECTION III: IMPLEMENTATION ARRANGEMENTS

GENERAL

The project activities will be implemented according to the project plan, the investment plan developed annually as well as the procurement plan in accordance with the Environmental and Social Standards stipulated in the project ESCP and ESMF. The implementation arrangements between UNOPS and the local implementing partner are defined in a bilateral Partnership Cooperation Agreement (PCA) with the local implementing partner.

Engagement and Consultation

In addition to working with the local implementing partner, UNOPS will mobilize beneficiary communities to elect their representatives (community monitors) to monitor implementation of the project within the community framework agreement. The community monitors will be trained on monitoring of the civil works on adherence to local social norms based on very less technical perspectives of the contracts performance and provide feedback for UNOPS's consideration. Citizen's feedback will be part of the monitoring mechanism on the digital platform and be accessible to the Bank's and TPMA's review.

By providing concrete methods for participation and building upon local methods of participation where they exist, the project has prepared the Stakeholder Engagement Plan (SEP)² with an overall objective to define a program for stakeholder engagement under this project, including public information disclosure and consultation, throughout the entire project cycle. The SEP outlines the ways in which UNOPS and its implementing partner will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about the project and any activities related to the project. See Section IV for more information.

The project will conduct beneficiary satisfaction surveys at three stages of the project cycle aiming at understanding the level of access related challenges the beneficiaries have, and to what extent the

² SEP and other project documents will be updated and re-disclosed as required at <https://ye.unopsmr.org/publications/yemen-emergency-lifeline-connectivity-project-documents/>

project addresses them. (i) A baseline survey will be conducted before roads rehabilitation and maintenance commences which, in conjunction with consultations made at preparation, will enable the project to establish the challenges and design beneficiary-centered optimal interventions to address these challenges. (ii) A mid-term survey will quantify the level of beneficiaries' satisfaction of the project outcomes and draw lessons from the implementation in the first half of the project period. The implementing agency will prepare time-bound action plans to make appropriate course corrections in the second half of the implementation period based on the lesson drawn. (iii) The end line survey will be conducted after completing all subprojects to quantify the level of beneficiaries' satisfaction vis-à-vis the intended outcomes and evaluate the impact of improvements made after the midterm survey.

The Project will also consult communities to identify the most pressing needs of connectivity and engage them in routine maintenance of rural and village access roads through micro enterprises. Since it is foreseen that the project will, overtime, use the services of 20 local micro enterprises (MEs) for road maintenance, UNOPS will mobilize the services of local agency specialized in private sector and entrepreneurship development (i.e. Small and Microenterprises Promotion Services -SMEPS) to providing support to ME's in organizing, competing for and engaging in the project's road maintenance activities. While upstream consultation ensures the project will do little or no harm to people and the environment, their direct involvement in road maintenance promotes a sense of ownership and improved livelihood. Consultation with communities will be conducted through face-to-face, virtual and/or hybrid, as indicated in the Stakeholders' Engagement Plan.

Gender Considerations

Given the gap between men and women's labor force participation rates, the project will include gender-sensitive workplace training and capacity building and training on non-discriminatory hiring and recruitment to the project contractors and RAP, so as to create an enabling environment for prospective female employees; as stipulated in the following instruments.

The SEA/SH Prevention and Response Action Plan: is prepared to meet the requirements of the World Bank's Environmental and Social Framework (ESF), most particularly the Environmental and Social Standard on Working Conditions (ESS2) and the Standard on Community Health and Safety

Labor (ESS4). It details the operational measures to assess and mitigate the risks of gender-based violence, most notably sexual exploitation and abuse (SEA) and sexual harassment (SH), and how they will be integrated over the life of the project. This includes procedures for reporting, responding and managing grievances related to such abuse.

Gender Action Plan (GAP): 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 on gender-based constraints and opportunities relevant to project planned activities.

Grievance Mechanism (GM): UNOPS will be responsible for setting up the GM that would include a simple protocol, and multiple uptake mechanisms (telephone, complaints box, website, email and text messaging). The GM will include good communication on the GM process in terms of beneficiaries' rights and as well as defining the boundaries in terms of what (project-related issues) this Grievance system would handle. Complaints received by the GM will be registered, tracked, investigated and promptly resolved. A separate protocol for dealing with SEA and SH cases within the GM will be developed.

ARRANGEMENTS FOR RURAL ROAD REHABILITATION AND MAINTENANCE

UNOPS will partner through a Project Cooperation Agreement (PCA) with RAP to provide enhanced implementation support to the project. RAP will provide enhanced implementation support to the project based on its assessed capacity. A Capacity Building Consultant (CBC) will be hired by UNOPS to assess RAP's initial capacity, identify needs, and prepare and implement a program of capacity building to RAP. As RAP's capacity grows and meets certain triggers set in the capacity building program, the CBC will assess and make recommendations in support of RAP's implementation capacity for the consideration of UNOPS and the World Bank. Tasks to be supported by RAP would be limited to coordinating with local stakeholders, preliminary assessment of bids, post qualification of bidders, arranging and processing possession of sites to contractors, construction quality oversight, monitoring construction schedules, reviewing change requests including designs and specifications, review of contractors claims and recommend to UNOPS, review of engineering

designs, studies, technical reports. The final decisions on all these remain with UNOPS. UNOPS retains bid advertising, bid receipt, price evaluation, negotiations and award of contracts, issuing change orders, receiving interim/final payment certificates, certifying payments, signing off studies and reports.

The subproject selection criteria are based on a transparent multi-criteria selection and prioritization framework, which has been developed by RAP in consultation with all relevant stakeholders in 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. ELCP will consider additional dimensions such as vulnerability to climate change, food security, conflict (FCV), disadvantaged groups (IDPs, women, youth) to the framework and refine the currently prioritized list of subprojects. Special attention will be given to “do no harm” that improved roads will not be a platform for warring parties to fight on and affect the supposed beneficiary communities. The selection would therefore avoid subprojects from areas of active or potential conflict. The multiplier effect of other planned and ongoing Bank financed operations in the proposed project area will be factored in informing subproject selection, prioritization, and design. The project will benefit from the ongoing effort to develop a geospatial platform to synergize operations for a maximum impact on increasing food security, alleviating access constraints to basic services such as health, education, market and strengthen the agriculture-logistics-market value chain.

SPECIFIC TASKS UNDERTAKEN BY RAP

In accordance with the PCA, RAP will perform all necessary activities towards the design and implementation of each sub-project until completion to the satisfaction of UNOPS. The following tasks will be planned in close coordination with UNOPS to ensure delivery to the agreed level of quality.

TASK 1: PROJECT SELECTION

Pre-selected projects will be implemented (project list) based on coordination with local authorities and communities. RAP will propose road subprojects that maximize the use of manual labor to support local employment, and will also consider the climate risks that the roads are exposed to, and build

back better with climate resilience in mind. RAP will work with the relevant local authorities and/or communities to present to UNOPS a prioritized list of projects based on the project selection criteria.

Selection Criteria

The selection parameters include, level of accessibility, population, poverty, cost/benefit, per capita cost. The proposed project will consider additional dimensions such as vulnerability to climate change, food security, conflict (FCV), disadvantaged groups (IDPs, women, youth) to the framework and refine the currently prioritized list of sub projects. Special attention will be given to “do no harm” that improved roads will not be a platform for warring parties to fight on and affect the supposed beneficiary communities. The selection would therefore avoid subprojects from areas of active or potential conflict. The multiplier effect of other planned and ongoing Bank financed operations in the proposed project area will be factored in informing sub-project selection, prioritization, and design. The project will benefit from the ongoing effort to develop a geospatial platform to synergize operations for a maximum impact on increasing food security, alleviating access constraints to basic services such as health, education, market and strengthen the agriculture-logistics-market value chain.

TASK 2: COMMUNITY ENGAGEMENT:

Through a community engagement mechanism, RAP will involve communities to identify the most pressing needs where there will be no community contribution towards the funding of any of the selected subprojects in any form. RAP will be responsible for community engagement and mobilization; in particular, RAP will undertake the following:

- a) Appoint a consultant to conduct community consultations.
- b) Hold consultations with beneficiary representatives, including women, with the objective to discuss the selection of interventions, verifying priorities, identifying particular needs including gender-related needs, selecting feasible site locations to maximize the number of communities benefit from the project, while taking into account social and environmental aspects.
- c) During site visits, coordination with local government agencies will be established to ensure coordination and collaboration.

- d) Engage women in a gender-sensitive consultation through female mobilization teams to ensure women participation in identifying needs and prioritizing interventions accordingly.
- e) Prepare and submit to UNOPS a Community Engagement Report to be signed by the community members participating in the consultation process.
- f) Conduct environmental-screening of proposed activities and develop the site-specific Environmental Social Management Plans (ESMP) and/or Resettlement Action Plans (RAP) for the selected activities in full compliance with project ESMF and RPF for UNOPS review.
- g) Any issues that may lead to cancellation /re-allocation of activities and/or community disputes must be reported immediately to UNOPS.

TASK 3: DESIGN AND SUPERVISION OF WORKS:

RAP will engage external consultants to develop design drawings and bidding documents as and when needed. UNOPS will review and approve design drawings produced by RAP consultants and will submit the technical designs to UNOPS Design Review for clearance.

RAP will take over the approval procedure for construction drawings, documents etc. received upon the start of construction supervision activities at site. In particular, RAP will undertake the following activities:

- a) Assessment (data collection, engineering and environmental surveys), designs and technical documentation (specifications and standards) developed in-house or by outsourced consultants for selected subprojects;
- b) Preparation of precise rate analysis and bills of quantities (BoQs) for subprojects;
- c) Prepare and/or review the geometry, pavement, retaining and/or drainage structures and other structural designs, drawings specifications, construction methods etc.,
- d) Continual improvement and update the existing technical specifications, BoQs, and design standards to meet internationally accepted standards;
- e) Prepare and submit complete technical packages of subprojects for UNOPS Design Review' clearance prior launching procurement;
- f) After successful procurement, the RAP will approve the construction methods proposed by contractors and review contractors' engineering/technical staff for carrying out the works to

ensure that these are in conformity with the subproject's technical requirements, implementation schedule, environmental and social management framework (ESMF), as well as safety of works, personnel and the general public;

- g) Review contractor's proposed detailed work program, plant and equipment deployment schedule, contractor's personnel, etc.;
- h) Ensure that all the environmental and social mitigation measures required to be implemented are incorporated in the contract documents;
- i) Ensure that Health & safety measures (OHS), precautions and mitigations required, including those related to Sexual Exploitation, Abuse and Harassment (SEAH) are included in the, BoQs, drawings, contract documents and specifications;
- j) Undertake and/or review structural design and analysis calculations using applicable governing codes and standards, engineering formulae, skills, and experience;
- k) Review shop drawings submitted by contractors;
- l) Coordinate work with other disciplines such as tele-communications, civil, mechanical, electrical, etc.

TASK 4: PROCUREMENT OF CONSULTANTS

RAP will submit to ELCP Project Manager (PM) and Road Specialist complete procurement packages for consultancy services for clearance. In response to each submission of the RAP, ELCP PM will issue an advice to RAP, which will include UNOPS' comments/No Objection on the technical side of the package.

RAP will select individual consultants in accordance with the proposed APA arrangements to be consistent with the procurement rules and procedures of UNOPS. This task covers procurement activities of consultancy services for conducting road condition surveys, preparation of designs and tender documents, supervision of works, conducting socio- economic surveys, and site supervision of all agreed activities/sub-projects. This task also includes, but not limited to, preparing and/or reviewing terms of reference, advertisement, shortlisting, evaluation and award ensuring that procurement processes advance in a coordinated manner and according to the schedules established in the procurement plan. In particular, RAP will be responsible for:

- a) Preparation of the consultancy service Terms of Reference (TOR);
- b) Preparation of cost estimate and the budget;
- c) Preparation of the short list of consultants;
- d) Preparation and issuance of the RFP. Simplified RFP, or detailed RFP including all necessary documents: Letter of Invitation (LOI); Instructions to Consultants (ITC); the TOR and the proposed draft contract;
- e) Receipt of proposals;
- f) Evaluation of technical proposals;
- g) Public opening of financial proposals, if applicable;
- h) Evaluation of financial proposal, if applicable;
- i) Final evaluation of quality and cost;
- j) Submission to UNOPS for No-Objection; and
- k) Negotiations and award of the contract to the selected consultants.

RAP will establish and maintain a pool of consultants interested in participating in consultancy service assignments based on nature of work or geographical location. RAP will issue a General Procurement Notice (GPN) or Request for Expression of Interest (REoI) through the media at local and national levels inviting consulting interested firms and individuals with relevant experience to submit their profiles for review and registration with RAP. Once established, within 30 days of signing the agreement, RAP will submit the list of registered consultants to UNOPS for review and approval.

The list of consultants shall not include government organizations/units in any form, including state owned enterprises. The RAP will update the consultants list regularly and will submit to UNOPS any changes from the originally approved list. At any point in time during this agreement, UNOPS can request RAP to remove any consultant from the list due to poor performance, lack of qualifications, or misconduct, and the RAP will immediately comply with UNOPS request on this matter. For all consultancy contracts, RAP shall furnish to UNOPS, upon request, all relevant documents including but not limited to ToRs, short-lists, selection procedures, RFPs, evaluation reports and negotiated contracts.

TASK 5: CONTRACT ADMINISTRATION

RAP will administer the contracts and ensure that the contractual clauses for both quality and specifications of work are complied with, and the works are carried out in accordance with the provisions of the contract. RAP will make all engineering decisions required for the successful and timely completion of the contracts. In particular, RAP will be responsible for:

- a) Preparation and submission of standard payment processing procedures for UNOPS review;
- b) Prepare amendments/ variations (change orders, change drawings or modifications) as required during the contract implementation in which amendments/ variations shall be approved by UNOPS in advance;
- c) Effective contract administration in accordance with conditions of contract;
- d) Conduct progress meetings and to review progress claims submitted by contractors;
- e) Make random, or as requested by UNOPS, field visits to review and assess performance of contractors and supervision consultants with regard to measurement of quantities and verification of payment certificates prepared in the field and advise with recommendations for improvement to relevant stakeholders;
- f) Supervise the contractors work and certify the contractors' work in accordance with contract conditions. Ensure that the construction methods proposed by the contractor for carrying out the works are satisfactory.
- g) Certify work volume, review and submit to UNOPS interim and final payments of the Contractors.
- h) Submit payment requests to UNOPS in a timely manner with supporting documentation, as required by UNOPS, for UNOPS to make direct payments to contractors;
- i) Establish efficient procedures for verifying contractors' performance and reporting progress and issues in a timely manner including quality control reports, quantity survey records, requests for variation or change orders, requests for time extension, and contractors' claims and invoices;
- j) Reporting and updating the works implementation schedule, highlighting any foreseen delays, and timely proposing corrective measures in which prior consultation with UNOPS is required for any adjustment of the works implementation schedule;

- k) Recommend, in consultation with UNOPS, the rates for any unscheduled items of work that may arise;
- l) Ensure that safety requirements are implemented in accordance with the contract documents and specifications, including inspection and HSSE reporting. This includes OHS and PSEA measures as well as any precautions or mitigation measures during implementation of works in case of any pandemic or epidemic spread;
- m) Check “as built” drawings prepared by the Contractors. Keep and record a complete set of as-built drawings in paper and electronic formats for archiving in RAP repository;
- n) Carry out the preliminary taking over of all subprojects and issue the initial taking over certificate in close coordination with UNOPS;
- o) Assist the applicable local authorities for the handover of completed subprojects after the initial and final taking over certificates that have been issued and approved by UNOPS;
- p) Prepare subproject completion reports; and,
- q) Carry out three inspection visits during the 12-month Defect Notification period (DNP) for each road subproject and issue the final taking over certificates to ensure that all defects have been rectified and completed.

TASK 6: QUALITY MANAGEMENT

While supervising construction works, RAP will develop and implement quality assurance and quality control systems and plans following industry standards and best practices. Under this task, RAP will also monitor contractors’ conformity with environmental and social impact controls and will approve and monitor the implementation of the contractors’ health and safety plans as well as SEA prevention and response action plans. Activities under this task may include:

- a) Develop and implement standard QA/QC (Quality Control) systems for the project and provide guidelines to the field implementation teams to review and implement contractors’ QA/QC plans;
- b) Develop and implement methodology and system suitable to Yemen roads maintenance;
- c) Make random, or as requested by UNOPS, field visits to review and assess performance of contractors and supervision consultants with regard to QA/QC and advise UNOPS accordingly with recommendations for improvement.

- d) Inspection of contractors' construction equipment, results of material and laboratory tests, safety of the works, property and personnel;
- e) Inspect and test all materials and works to ensure compliance with specifications and giving immediate notice to contractors to remedy in the event that such materials and works fail to comply with the specifications;
- f) Monitor contractors' conformity with traffic control and road safety action plan during construction;
- g) Supervise and monitor the implementation of site-specific Environmental and Social Management Plan (ESMPs); and in the event of occurrence of any unexpected environmental impacts, coordinate with UNOPS to recommend necessary mitigation measures;
- h) Monitor Contractors' compliance with and performance of required actions regarding human trafficking, and labor code standards in accordance with applicable laws and contract documents, including coordination with UNOPS to ensure awareness and education of laborers and workers.
- i) Monitor Contractors' compliance with their Sexual Exploitation and Abuse Prevention and Response Action Plans

The Project Component 1. B (Road Maintenance through private sector participation and supply chain enhancement) will support road maintenance to ensure sustainability through work that will take place on roads and to ensure they remain strong, safe, and efficient. Road maintenance will take many forms, from pothole repair to crack sealing, but the overarching aim is to keep road users safe, manage traffic and maintain upkeep. This might involve patching (filling potholes or excavated areas in the pavement), shoulder reshaping, grass cutting along shoulders and side drains, minor drainage repairs such as sealing of cracked mortar joints, culvert and side drain cleaning, removal of logs, etc. Local micro enterprises (MEs) will be employed to undertake road maintenance, thus increasing economic opportunities for local communities. The project encourages the use of locally produced construction materials to maximize the benefits of the local private industry.

The maintenance of 60km village access roads (VAR) and 150km rural roads will be performed by local MEs and will benefit from an ecosystem of supply chain providers and construction

sector-specific services. MEs will be provided opportunities to participate in road maintenance in transparent and equitable manner. Many of these economic actors exist but need capacity and financial support in order to sustain themselves, reach quality and service standards that would allow them to access the construction or maintenance opportunities, or to participate actively in the associated supply chains. It is foreseen that the project will, overtime, use the services of 20 MEs for road maintenance, thus providing at least 1000 income opportunities to local communities in which construction or maintenance contracts will be offered.

To support such private sector participation, UNOPS will 1) mobilize consultancy services for studies, preparation of training modules, designs, production of tender documents and independent supervision linked to the civil works and 2) mobilize the services of local implementing agency, Small and Microenterprises Promotion Services (SMEPS), specialized in private sector and entrepreneurship development, providing support to MSME's and road maintenance.

Based on a developed and cleared Terms of Reference (ToR) by UNOPS and the WB team, the local agency will perform a series of activities to build the capacity of qualifying MEs and support them in accessing financing from micro finance institutions or other sources to enable them to finance their equipment upgrading. This includes:

- ME strengthening services, such as training in business management, entrepreneurship, business quality standards, project management, and accessing finance through the local commercial finance market.
- ME technical training on rural road maintenance: road maintenance techniques, quality control, maintenance pricing and tendering, contract management and project financial management.
- Administrative and regulatory support to MEs to help them participate. There is no specific law or regulation governing the formation and operation of microenterprises in Yemen, but the MPWH provides them licenses to take up public works below a certain threshold. In addition, the entities are required to possess Tax Card issued by the income tax authority against registration with the authority, Social security card for the workers, classification by MOPWH, usually 5th class or below. As part of the support to MEs, the

local agency will advise on how the businesses can be established and can operate, including their legal rights and obligations as well as their governance requirements. This will be performed with technical partners, such as the relevant MOPWH department.

- Internship schemes to promote vocational/on the job training and employment. UNOPS and/or the local agency will support internships for female university students in road maintenance. This will be performed with local educational partners and relevant business associations.

Defects Notification Period

Project's activities involving works (i.e. construction, rehabilitation, repairs, and installation) will be subject to UNOPS quality assurance and HSSE requirements; including the Defects Notification Period (DNP), which is the 12-month period between handover and final certificate for completion of the works. Sufficient time will be included in the project work plan to account for DNP and any close-out processes till DNP completion. Final completion occurs when the DNP has come to an end and all defects notified to the contractor have been addressed. Please refer to Annex 7 for the project Work Plan.

SECTION IV: ENVIRONMENTAL AND SOCIAL MANAGEMENT

UNOPS has Environmental and Social Management (ESM) guidelines and frameworks for physical infrastructure work, which helps project managers to incorporate measures needed to minimize any negative impacts and strengthen the environmental and social benefits. UNOPS has prepared the procedure for preparation, review, clearance, and implementation of subprojects' safeguards instruments as a conceptual framework including a consolidated and coordinated mechanism to facilitate the implementation of the Yemen Emergency Lifeline Connectivity Project (ELCP) subprojects.

UNOPS has prepared and will implement the following ESF instruments for the project³:

- 1- Environmental and Social Commitment Plan (ESCP)
- 2- Stakeholder Engagement Plan (SEP)
- 3- Environmental and Social Management Framework (ESMF)
- 4- Labor Management Procedures (LMP)
- 5- Resettlement Framework (RF)
- 6- Security Management Plan (SMP)
- 7- SEA/SH Prevention and Response Action Plan

UNOPS has prepared a project Environmental and Social Management Framework (ESMF), which has been cleared by the WB to guide and ensure that all subprojects and activities meet the requirements of the World Bank Environmental and Social Framework (ESF) and UNOPS' OHS and ESM guidelines and the additional (ESSs). The ESMF includes the screening mechanism for determining the need for the preparation of subproject-specific Environmental and Social Management Plans (ESMPs) - template for subproject screening in Annex 9. This framework will be the base for the preparation of additional environmental and social plans for UNOPS Technical Team in Sana'a office and UNOPS local implementing partner (RAP) who will ensure the implementation of the ESS and practice in accordance with the project Environmental and Social Commitment Plan (ESCP) in all sites.

³ <https://ye.unopsmr.org/publications/yemen-emergency-lifeline-connectivity-project-documents/>

UNOPS is committed to avoiding and where this is not possible minimizing any adverse environmental or social impacts. The ESS procedure guides UNOPS contractors, retainers as well implementing partners to avoid, and/or reduce to a level that is as low as reasonably practicable any potential adverse environmental and social impacts, in accordance with the World Bank environmental and social requirements, Yemen laws and regulations, and international related standards.

This section will also address the requirement for implementing existing ESF instruments and preparing additional ESF instruments (e.g. Environmental and Social Management Plans -ESMPs, Resettlement Plans- RP) for component 1 of the project: Rural and Village Access Roads Improvement and Maintenance.

All relevant project documents, including the entire project ESF instruments, are available on the UNOPS Yemen website through the following link:

<https://ye.unopsmr.org/publications/yemen-emergency-lifeline-connectivity-project-documents/>

ENVIRONMENTAL AND SOCIAL STANDARDS AND PRACTICES

The Environmental and Social Commitment Plan (ESCP)

The ESCP sets out material measures and actions to be carried out or caused to be carried out by UNOPS, including the timeframes of the actions and measures, institutional, staffing, training, monitoring and reporting arrangements, grievance management and the environmental and social assessments and instruments to be prepared or updated, disclosed, consulted, adopted and implemented under the ESCP and the ESSs, all in a manner acceptable to the WB.

As agreed by the WB and UNOPS, this ESCP may be revised from time to time during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to assessment of Project performance conducted under the ESCP itself. In such circumstances, UNOPS will agree to the changes with the WB and will update the ESCP to reflect such changes. Agreement on changes to the ESCP will be documented through the exchange of letters signed between the WB and UNOPS. UNOPS shall promptly disclose the updated ESCP.

The Environmental and Social Management Framework (ESMF)

The ESMF was prepared by UNOPS to meet the requirements of the World Bank's Environmental and Social Framework (ESF), most particularly the Environmental and Social Standard on the Assessment and Management of Environmental and Social Risks, including the World Bank Group Environment, Health and Safety (EHS) Guidelines. It also meets the UNOPS Environmental, Health and Safety (EHS) procedures and practices and complies with Yemeni environmental and social laws and regulations. The use of a Framework is appropriate and necessary, given that the Project consists of a large number of subprojects in many different localities, and that the specific location and activities of each subproject will only be determined during implementation

UNOPS has recruited an Environmental and Social Safeguards Officer (ESSO) based in Sana'a, to oversee Project safeguards, as well as an international expert to support the ESSO and ensure the overall implementation of the ESMF. The bulk of the ESHS risks and impacts is directly associated with the construction and rehabilitation activities of the contractors who will rebuild, rehabilitate, and restore the targeted facilities. Although the risk profile might differ between specific activities, the overall risk profiles of construction activities are analogous for the four target sectors. The ESMF also details specific mitigation measures for each of the four target sectors.

The ESSO will screen all subproject proposals prepared by UNOPS and its implementing partner to: (i) determine the environmental and social issues that might be triggered by the subproject, including the risk of Sexual Exploitation, Abuse and Harassment (SEAH) (ii) identify the relevant Environmental and Social Standards (ESS); (iii) determine the appropriate Environmental and Social risk rating for the subproject, and; (iv) specify the type of environmental and social assessment required, including specific instruments/plans. UNOPS and its implementing partner will prepare proportionate ESMPs for subprojects not requiring a full ESIA and ESMP, according to the following table of content:

- (i) Summary Sheet
- (ii) Subproject Description
- (iii) The evaluation of due diligence taken to avoid potential physical and economic resettlement impacts
- (iv) Environmental and Social Baseline
- (v) Consultations

(vi) Mitigation Instruments

Indicative outline of subproject ESMP is provided in Annex 11.

Subprojects that cause significant environmental and social impacts will require a full ESIA and ESMP - Indicative outline of subproject ESIA is in Annex 10 and might require a Resettlement Plan. Guidance for resettlement planning is detailed in the Project's Resettlement Framework.

UNOPS and its implementing partner will apply the World Bank's requirements for consultation and disclosure, as detailed in the Project Stakeholder Engagement Plan. Consultations will be initiated as soon as subprojects screening has been completed and consultation records will be kept in the Project Office. Consultations will take into consideration the sociocultural context of Yemen, as well as the ongoing COVID-19 epidemic. UNOPS and its implementing partner will incorporate environmental and social requirements for contractors in tender documentation and contract documents, so that potential bidders are aware of environmental and social performance requirements expected from them and are able to reflect that in their bids. The cost to contractors of meeting the ESHS requirements will be included in their respective contracts. UNOPS and its implementing partner will enforce compliance by contractors with these requirements. The requirements include the following sections:

- (i) Contractor Environmental and Social Management Plan (C-ESMP)
- (ii) ESHS Training
- (iii) Construction Site Management
- (iv) Occupational Health and Safety (OHS)
- (v) Road safety and Traffic Safety
- (vi) Chance Find Procedures
- (vii) Emergency Preparedness and Response
- (viii) Stakeholder Engagement
- (ix) PSEA Action Plan
- (x) Code of Conduct

UNOPS will monitor and report on implementation of the ESMF, with inputs from the implementing partner and the TPM agent. UNOPS ESSO will ensure that safeguards monitoring is included in the Project's quarterly reports to the World Bank. The Project will establish a Grievance Mechanism (GM), as detailed in the Project Stakeholder Engagement Plan, which will be used for environmental, resettlement and social issues. UNOPS and the implementing partner will each recruit or designate a GM focal point to handle Project activity-related complaints.

The implementing partner will cover the cost of its E&S and GM focal points as part of its Project Cooperative Agreement (PCA) with UNOPS. These focal points might not work full time on ELCP activities, as the implementing partner may have other partnership agreements with other donors. The cost of due diligence for specific subprojects (i.e. preparation of the screening form, consultations, GM, preparation of ESMPs, and monitoring) are included in the costs/budget for each road subproject.

The Stakeholder Engagement Plan (SEP)

The SEP is prepared to define a program for stakeholder engagement under this project, including public information disclosure and consultation, throughout the entire project cycle. The SEP outlines the ways in which UNOPS and its implementing partner will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about the project and any activities related to the project. UNOPS and its implementing partner 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 into Arabic the Project SEP, the Environmental and Social Management Framework (ESMF), the Resettlement Framework, and the Labor Management Procedures (LMP), and make hard copies in publicly available locations at its Project Office in Sana'a, RAP local offices as well as soft copies at UNOPS Project website⁴, and RAP website. These documents will remain in the public domain throughout Project lifespan.

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. 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.

⁴ These documents have been disclosed and can be retrieved from:
<https://ye.unopsmr.org/publications/yemen-emergency-lifeline-connectivity-project-documents/>

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

- **Openness.** UNOPS and its implementing partners 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 partners will provide and widely distribute information to all stakeholders in an appropriate format, and provide opportunities to stakeholders to 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 marginalized and/or vulnerable individuals and groups. If necessary, UNOPS and its implementing partners 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 partners will organize separate meetings and focus group discussions for women, using women facilitators and adapting meeting logistics to women's needs in terms of timing, transportation and available facilities.

UNOPS ESSO will prepare monthly summary 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. UNOPS will produce a standalone annual report on the project's interaction with the stakeholders during the year.

The Labor Management Procedures (LMP)

The LMP was prepared by UNOPS to meet the requirements of the World Bank's Environmental and Social Framework (ESF), most particularly the Environmental and Social Standard on Labor and Working Conditions (ESS2). The LMP sets out the way in which project workers will be managed, in accordance with the requirements of national law and ESS2. They address how ESS2 requirements will apply to various categories of project workers including direct workers, and the way in which UNOPS will require third parties to manage their workers in accordance with the project ESCP (ESS2). The table of content of the LMP is based on the LMP template (v1, September 6, 2018) proposed through the World Bank ESF website. However, adjustments to the proposed template were made to more closely follow the order in which issues are addressed in ESS2. UNOPS will update the LMP as necessary, in light of experiences during Project implementation. Any update will be submitted to the World Bank for prior review before becoming effective. UNOPS and its Implementing Partner will meet ESS2 requirements by relying on the Yemeni Labor Code when appropriate, while also supplementing the requirements spelled out in the Code with sufficient and proportionate additional measures if there is a gap.

The Resettlement Framework (RF)

The RF was prepared to meet the requirements of the World Bank's Environmental and Social Standard on Land Acquisition, Restrictions on Land Use and Involuntary Resettlement (ESS5), and Yemeni laws and regulations related to land acquisition and ownership, economic displacement, resettlement and compensation. World Bank requirements will be applied in the areas of: eligibility for benefits, public participation and disclosure, cut-off dates and resettlement assistance, and to address gaps between national and World Bank requirements. The use of a Framework is appropriate and necessary, given that the Project consists of a large number of subprojects in many different localities, and that the specific location and activities of each subproject will only be determined during implementation.

Involuntary resettlement might be caused by the following project activities:

- Land taken on temporary terms. Temporary taking of land for diversion of traffic during construction, stock piling of building materials, excavated soils and overburden. Additionally, temporary taking of land for workers' camps, engineers' offices and

accommodation for night guards.

- Blocked/restriction of access. Construction activities might restrict access to houses, shops, businesses, gardens or other properties.
- Livelihood impacts. Includes temporary taking of land used for crops and horticulture, petty traders, market stalls, or the temporary exclusion of waste pickers from landfills.

Eligibility will be determined as required in ESS5, distinguishing persons:

- Who have formal legal rights to land or assets;
- Who do not have formal legal rights to land or assets, but have a claim to land or assets that is recognized or recognizable under national law
- Who have no recognizable legal right or claim to the land or assets they occupy or use.

Resettlement Planning would involve the following key steps for any subproject that might cause involuntary resettlement:

- A comprehensive census of Project Affected Parties (PAPs) and an inventory of their affected assets. A cut-off date for eligibility will be determined in a manner acceptable to all parties, documented and widely disseminated
- Socioeconomic survey of affected individuals and households with special attention to the needs of vulnerable people among the PAPs, including the Al Muhamasheen .
- An assessment of the affected assets, including trees and crops, documentation of the PAPs and verification of assets by UNOPS in collaboration with relevant parties

As necessary, UNOPS would prepare subproject Resettlement Plans, with the support of the Implementing Partner. UNOPS would prepare, and agree upon, ToRs with the Implementing Partner and submit them to the World Bank for review and clearance. External consultants would be recruited on the basis of consultants' qualifications and relevant resettlement experience. Resettlement Plans would be approved by UNOPS and the World Bank and disclosed on their respective websites.

Stakeholder Engagement will be a continuous process throughout the resettlement process. The ESSOs of UNOPS and the Implementing Partner would ensure that PAPs and any relevant stakeholder are sensitized to the types of compensation, valuation principles, and the project Grievance

Mechanism. The Project will apply the standalone Project Grievance Mechanism for resettlement related complaints. As part of implementation of the Stakeholder Engagement Plan, the ESSOs of UNOPS and the Implementing Partner will each handle complaints related to their activities. UNOPS will monitor and report on the RPF implementation with inputs from implementation partners. UNOPS ESSO will ensure that safeguards monitoring is included in the Project's biannual reports to the World Bank.

SEA/SH Prevention and Response Action Plan

The Project SEA/SH Prevention and Response Action Plan is prepared to meet the requirements of the World Bank's Environmental and Social Framework (ESF), most particularly the Environmental and Social Standard on Working Conditions (ESS2) and the Standard on Community Health and Safety Labor (ESS4). It details the operational measures to assess and mitigate the risks of gender-based violence, most notably sexual exploitation and abuse (SEA) and sexual harassment (SH), and how they will be integrated over the life of the project. This includes procedures for reporting, responding and managing grievances related to such abuse. Please refer to Annex 8 for SEA/SH Action Plan Timeline.

Where relevant, the Action Plan will build on available and planned mechanisms, as they are grounded in the organizations' experience in the country or in their respective sectors. This allows for the most efficient use of available systems, avoiding duplication in initiatives. The Plan is organized around the following key actions:

- Strengthen institutional capacity for GBV/SEA/SH risk mitigation and response by:
 - a. Strengthen coordination and collaboration with relevant GBV actors in Yemen, in particular the Protection Cluster, GBV sub-cluster and Child protection sub-cluster to tap into the existing referral system in project areas
 - b. Recruit a GBV/SEA/SH specialist in the UNOPS Yemen office to supervise and provide technical support for the implementation of GBV/SEA Action Plan.
- GBV/SEA/SH capacity building of project implementing partners (The Implementing Partner) through:

- a. Sensitization and training of implementing partner (IP) staff on expectations around SEA/SH.
 - b. Establishment of misconduct response systems. These responses will comply with the relevant UN protocols on management of SEA/SH risks and will include the implementation of sanctions for violations of worker code of conducts.
- Establishment of GBV/SEA/SH channels and procedures for the Grievance Mechanism
 - Communication to project affected communities about GBV/SEA/SH risks and mechanisms:
 - a. Community awareness on GBV/SEA/SH. Education and raising of awareness for project beneficiaries of SEA and their legal rights will be provided as part of the project activities and stakeholders' engagements.
 - b. Gender-sensitive communication channels. Disclosure will take place through multiple communication channels to be identified, taking into consideration women's safety when designing and distributing information.
 - Sensitization and capacity building of contractors and suppliers on GBV/SEA/SH in the project:
 - a. Pre-bid vendor conferences on GBV requirements. Three vendor conferences for all suppliers and contractors will be held prior to the launch of tenders, to sensitize them to the UNOPS GBV tender requirements.
 - b. Development of GBV action plan guidance and checklists. UNOPS, and in particular the GBV specialist, will develop guidelines and checklists for contractors on how to develop a simple and implementable GBV action plan, which will be included as a tender requirement for high-value contracts.
 - c. Selection and sensitization/training of contractors. Previous high-value contract contractors (above 500.000 USD) will be identified and trained on developing and implementing a GBV Action Plan as per the developed guidelines and checklists. This will happen during the initiation phase of the project.
 - d. Development of training and communication materials. UNOPS, and in particular the GBV specialist, will develop training and communications materials to be used by contractors to sensitize their workers to GBV/SEA/SH.

The Security Management Plan (SMP)

The Project SMP was prepared by UNOPS to meet the requirements of the World Bank's Environmental and Social Framework (ESF) for ELCP, most particularly the Environmental and Social Standard on Community Safety and Health (ESS4). The SMP defines how UNOPS will ensure security protection and duty of care to all project workers and project-affected parties. UNOPS fall under the UN Security Management System (UNSMS). The UNSMS operates under a 'Framework of Accountability for the United Nations Security Management System' that provides guidance for the various security actors and mechanisms in a country. The Designated Official (DO) is the highest-ranking UN official in a given area. S/he is supported by a Security Management Team (SMT) – which is usually constituted by all heads of agencies and UN Security Professionals. The UNSMS policies and procedures apply universally to all UN personnel, regardless of contract type or whether they are local or international. All policies apply to all ELCP implementation locations.

UNOPS has deployed a Field Security Advisor (FSA) in Sana'a, who is a security professional and is responsible for overseeing the security arrangements relating to the implementation of ELCP. In the field, the local UNOPS team leader is dedicated to security as the UNOPS Security Focal Point. They have received basic security training, for example, SSAFE and BSAFE and the Security Focal Points are equipped with Tetra radios, cellular phones and laptops with internet access for direct communication with the closest UNDSS security office and with the respective FSA. The UNOPS FSA is the coordinator and Security Focal Points for all UNOPS personnel and will advise UNDSS and the Designated Official (DO) on any matters concerning the safety of UNOPS staff.

UNOPS will have full duty of care of all direct workers on the project. This includes internationals and nationals with all types of contracts. In regards to Third Party (non-UN) contracted workers and workers engaged by primary suppliers for the project, UNOPS and its implementing partner will include Saving Lives Together (SLT) principles in the procurement and bidding process to ensure that either contractors or primary suppliers become members of the SLT and adhere to its principles, or have in place security measures for their staff and assets adhering to SLT measures. This includes close coordination and exchange of security-related information between all project implementers, contractors, and primary suppliers, the putting in place of internal security risk management

procedures, or contingency planning and emergency response arrangements. These will be legally binding clauses in contracts and the implementation will be subject to monitoring and supervision by the Programme Manager. Duty of Care will be provided by the local contractors to all their workers.

LEGAL BASIS

The ESS procedures have been designed based on a set of applicable Yemeni laws and regulations related to social and environmental protection, Environmental and Social Management Framework (ESMF), Environmental and Social Requirements and International Standards including Principles Standards, World Bank Safeguards Policies, UNOPS HSSE procedures and practices and guidelines.

1.1 Yemeni laws and regulations:

Law No. 26 /1995 and its by-law No. 148/ 2000: Environmental Protection in Yemen.

1.2 World Bank Requirements

The Project must comply with the World Bank's Environmental and Social Framework (ESF) and most of the 10 Environmental and Social Standards (ESS) apply.)⁵ .

1.3 UNOPS Requirements

UNOPS has Environmental, Health and Safety (EHS) procedures and practices that include: (a) a Project Health and Safety Plan (PHSP), which is a management framework to ensure safer construction practices and to prevent dangerous acts that could lead to accidents on site; (b) standard contracts to which the PHSP is attached as an integral part; and (c) training programs for on-site staff on EHS aspects before projects begin.

1.4 National Environmental Action Plan

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

1.5 Environmental Protection Law

⁵ <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework>.

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 148/2000

1.6 Application of ESS Procedure

This procedure applies to all projects that are under UNOPS implementation. The ESS procedure includes, but is not limited to, subproject screening, safeguard instruments preparation, and implementation of subprojects. The application of the procedures begins right at the time of the subproject's approval and inclusion in the procurement plan and is relevant through the subproject screening, implementation, and subproject monitoring stages.

PROJECT SCREENING AND IMPACT ASSESSMENT

All subproject proposals prepared by UNOPS and its Implementing Partner shall be screened to determine the environmental and social issues that might be triggered by the subproject, and to decide what type and level of assessment is needed - Template for subproject screening in Annex 9.

The subprojects screening process will involve the following steps:

- Determination of applicability of environmental and social safeguards. Subprojects unlikely to have direct or indirect environmental or social impacts will not require further work.
- Eligibility of subprojects for project financing. The RAP ESSO will identify, analyze and assess if the subproject is likely to have any attributes that are in the following exclusion list that will be reviewed by UNOPS ESSO:

Exclusion List⁶

The first step in addressing a subproject's environmental and social risks and impacts is for the ESSO to exclude as ineligible for financial support all subprojects that include any of the following attributes:

- Activities that may cause long term, permanent and/or irreversible adverse impacts (e.g., loss of major natural habitat).

⁶ As indicated in Section 1.3 of the Project ESCP

- Activities that involve the acquisition of private land through eminent domain.
- New constructions or expansions that may involve significant physical relocation or private land acquisition or adverse impacts on cultural heritage.
- Activities that have high probability of causing serious adverse effects to human health and/or the environment not related to treatment of COVID-19 cases.
- Activities that may have significant adverse social impacts and may give rise to significant social conflict.
- Activities that may adversely affect lands or rights of vulnerable minorities.
- Activities that might involve significant impacts on biodiversity or living natural resources.
- Activities that might have a significant impact on tangible or intangible cultural heritage.
- Determination of the need for works contracts for the subproject in order to apply environmental and social clauses for contractors.
- Ensure that the subprojects will apply the mitigation measures and will be associated with stakeholder engagement, grievances and labor management procedures.
- Application of a checklist to screen eligible subprojects. Provide the documentation related to the assessment of the economic and physical resettlement impacts.
- Assigning each eligible subproject one of the following risk levels:
 - Level 1: Subprojects that are unlikely to have direct or indirect environmental or social impacts** These subprojects do not require safeguards instruments . However, clauses for contractors, and ESS2, ESS10 will apply..
 - Level 2: Subprojects that involve work but do not have impacts beyond generic construction impacts** that are managed by contractors. These subprojects will require an ESMP consisting only of a description of the subproject, and the Environmental and Social Clauses for contractors (see Chapter 10), the grievance mechanism and consultation requirements. These subprojects might also require an Abbreviated Resettlement Action Plan (ARAP) prepared under the Resettlement Framework should economic/physical resettlement impacts be identified during the screening phase.

Level 3: Sub Projects that cause no more than three environmental or social impacts

In addition to the Environmental and Social Clauses for Contractors, these subprojects will require risks assessment limited to the triggered impacts and will define proportionate and sufficient mitigation measures specific to these impacts and requires preparation of ESMP proportional to the identified risks.. .

Level 4: Subprojects that trigger significant environmental and social impacts. These subprojects will require a full ESIA and ESMP. They might also require an ARAP or a RAP.

UNOPS will apply the World Bank requirements for consultation and disclosure of safeguards instruments. Consultations will be initiated as soon as subprojects screening has been completed and consultation records will be kept in the Project Office. Consultations will take into consideration the sociocultural context of Yemen. UNOPS and its implementing partner will incorporate environmental and social clauses for contractors in tender documentation and contract documents, so that potential bidders are aware of environmental and social performance requirements expected from them and are able to reflect that in their bids. UNOPS and its implementing partner will enforce compliance by contractors with these clauses.

The clauses cover four issues: (i) Environment, Health and Safety (EHS); (ii) code of conduct; (iii) labor clauses; environmental and social monitoring by contractors; (iii) environmental and social liabilities; and (iv) grievance mechanism for workers and surrounding communities. These clauses will be referred to in all subproject ESMPs. Subproject ESMPs will also include any training required for contractors to understand and satisfactorily meet the Project's environmental and social requirements.

PUBLIC CONSULTATION

There should be a documented consultation process during the environmental and social risk evaluation of each subproject road. UNOPS has established a Grievance Mechanism that addresses the

environmental and social issues. UNOPS and the implementing partner will each recruit or designate a GM focal point to handle project activity-related complaints⁷.

SPECIFIC REQUIREMENTS FOR ESF INSTRUMENTS PREPARATION

The preparation of the safeguard instruments needs specific requirements for each subcomponent to be available like technical description, scope of work, name of targeted facilities, conducted public consultations etc. which all need time and coordination⁸. The responsibilities to facilitate the preparation is included in the coming section.

Responsibilities for ESF Preparation

- **Road Specialist**

Road Specialist will take the leading role in coordination with the Technical team, ESSU, Procurement Unit, Implementing Partner (RAP) for all subprojects activities under ELCP Component 1. The specific required Technical Specification/ Description for the subcomponents are included but not limited to the points indicated in Annex 1.

- **Subprojects screening process**

Determination of applicability of environmental and social safeguards. Subprojects unlikely to have direct or indirect environmental or social impacts will not require further work.

Eligibility of subprojects for project financing. The ESSO will identify, analyze and assess if the subproject is likely to have any attributes that are included in the exclusion list.

- **Procurement Unit**

Procurement unit shall provide an updated procurement plan for all approved subprojects activities under ELCP and identify and prioritize activities that require civil works. If needed, the PCA with UNOPS Implementing Partner shall also be updated as a result.

⁷ Annex8: Grievance Mechanism, Complaints Management Review Process and Annex 9: GM Cases Monitoring and Tracking Log.

⁸ Annex 6 shows the coordination charts for safeguards instruments preparation for Urban Roads

- **RAP ESSO**

RAP ESSO will be responsible for conducting subprojects screening and consultation as soon as the procurement plan is approved and targeted locations are identified. RAP ESSO will then submit the final draft of the safeguard instrument to UNOPS ESSO and Road Specialist for review and comments. The draft safeguard instrument shall include the content as listed in Annex 1.

- **UNOPS ESSO**

UNOPS ESSO will review subprojects screening and exclusion lists and proceed to consultation as soon as the procurement plan is approved, targeted locations identified, and initial descriptions provided. The ESSO will coordinate and follow up with the Road Specialist and the Implementing Partner's ESSO for providing the final draft of the safeguard instruments including the subprojects technical description required for preparation of safeguard instrument. UNOPS ESSO will review and finalize the safeguard instrument and advise if any necessary further information is needed.

MONITORING OF PREPARATION OF ADDITIONAL ENVIRONMENTAL AND SOCIAL PLANS AND IMPLEMENTATION OF ESF INSTRUMENTS

Preparation Timeline

	Item/process	Action by	Timeline(Days-Weeks)		
			Level 1	Level 2	Level 3
1	Provide approved Procurement Plan	Procurement Unit	TBD	TBD	TBD
2	Follow up IP to Provide final Draft of Safeguard instruments include full technical description as annex 01	UNOPS Road Specialist	TBD	TBD	TBD
3	Follow up with the Implementing Partner Consultation/(Men-women) including Location, Date, and photos	UNOPS Road Specialist	TBD	TBD	TBD
4	Provide final Draft of Environmental and Social Plan (ESMP/RAP/ARAP) instruments include full technical description as annex 01	Implementing Partner's ESSO	TBD	TBD	TBD

5	Conduct UNOPS public consultation / (Men-women) including Location, Date, and photos	UNOPS ESSO	TBD	TBD	TBD
6	Review Environmental and Social Plan (ESMP/RAP/ARAP) Draft	UNOPS ESSO	TBD	TBD	TBD
7	Finalize and submittal	UNOPS ESSO	TBD	TBD	TBD
8	Environmental and Social Plan (ESMP/RAP/ARAP) approval and clearance	UNOPS and WB	TBD	TBD	TBD

Monitoring of Environmental and Social Plan (ESMP/RAP/ARAP)

The Environmental and Social Plan (ESMP/RAP/ARAP) will be prepared after the proposed subproject roads have been screened for the exclusion list and procurement plan is approved. The final draft of the safeguard instrument will be submitted to WB for review, comments, and clearance, once the draft is finalized and cleared by UNOPS. Then, UNOPS will share the final cleared version of safeguards instruments with its Implementing Partner and UNOPS Procurement and Technical team to be included as part of the tendering documents.

Monitoring Contractors

The first stage, contractors shall be made aware of safeguard instruments requirements at the tendering stage, where cost of implementing preventative and control measures are also included in the contracts BOQs as appropriate. Once contracts are awarded to contractor and subproject activities are started, subprojects will be visited and supervised by the Implementing Partner's site engineers and ESSO as well as UNOPS ESSO and HSSE Specialist to ensure contractors' compliance with safeguard instruments and their mitigation measures through field visits reporting tools. The field visits tools are a group of methods used to monitor compliance of the project contractors as per Annex 4, Questionnaire Used in Review of Safeguards Preparation, Supervision and Monitoring.

Monitoring and reporting of all the ESF instruments

Monitoring and reporting on the environmental and social performance of Project activities including all other ESF instruments e.g. SEP, LMP, SMP, GBV Plan will be done by the UNOPS ESSO, the

UNOPS Health, Safety, Social and Environment Officer, Gender Specialist, Supervision Engineers recruited for UNOPS through a company for the duration of each subproject, the Third-Party Monitoring (TPM) Agent, as well as by the ESSO and the Health, Safety, Social and Environmental Officers in RAP as well as participating SME.

The most frequent monitoring will be done by the supervision engineer as they are expected to visit active sites at least twice a week. The HSSE Officers are expected to visit active sites once a month. The ESSO might only visit at the beginning and at completion of subprojects. Monitoring will be done as detailed in the following tables.

List of indicators for monitoring the performance of subprojects:

Indicator	Frequency	Responsibility
Security Risks		
a) Number and nature of security incidents	Every event reported within 24 hours	Supervision engineer
Exclusion of disadvantaged and vulnerable, and with elite capture		
b) Number of consultation meetings with disadvantaged and vulnerable stakeholders	At the beginning and conclusion of subprojects	ESSO
c) Number of complaints by stakeholders	Throughout through the Grievance Mechanism	ESSO
Landslides and soil erosion		
d) Number and nature of landslides and extent of erosion related to Project activities	Throughout	Supervision engineer
e) Visual confirmation that there are no landslide and soil erosion risks related to the Project activities,	Throughout	Supervision engineer
f) Confirmation that suitable mitigation measures are in place	Monthly	HSSE Officer**
Runoff		

g) Sufficient drainage installed	Subproject completion	HSSE Officer
Biodiversity		
h) Speed limit signs installed in critical areas for biodiversity	Subproject completion	HSSE Officer
i) Replacement trees planted	Subproject completion	HSSE Officer
j) Confirmation that culverts are clean	Monthly	HSSE Officer

Table 7. List of indicators for monitoring the performance of contractors relative to the ESHS requirements

Indicator	Frequency	Responsibility
General Provisions		
k) C-ESMP was prepared, submitted and approved prior to the start of major construction activities	Beginning of works	ESSO
l) On site availability of Safety Officer (from time sheets)	Monthly	HSSE Officer
ESHS Training		
m) Proof that all Contractor workers, including subcontractors, underwent ESHS training	Monthly	HSSE Officer
n) Visitor logs show that all visitors were logged in and underwent orientation training	Monthly	HSSE Officer
Construction Site Management		
o) Confirmation that all necessary permits were obtained	Beginning of activities and throughout	ESSO
Signage		
p) Presence of appropriate signage	Throughout	Supervision engineer
Vegetation		
q) Verification that there is no destruction, scarring or defacing of natural surroundings outside of designated work areas	Monthly	HSSE Officer
r) Verification that damaged areas were revegetated or scarified to facilitate revegetation	Monthly	HSSE Officer
Cultural Heritage		
s) Verification if tangible cultural heritage was found and affected	Monthly	HSSE Officer
Waste from construction activities		
t) Records showing that all solid waste from excavations was transported to waste disposal sites approved by UNOPS	Monthly	HSSE Officer

u) Records showing that the Contractor appropriately sanctioned workers and subcontractors who littered or inappropriately dumped waste materials	Monthly	HSSE Officer
Air Quality		
v) Number and nature of complaints from affected populations regarding insufficient dust suppression on unpaved road surfaces	Monthly	HSSE Officer
w) Maintenance records showing the regular and proper maintenance of diesel engines	Beginning of activities and throughout	Supervision engineer
Hazardous and Toxic Materials		
x) Confirmation that all hazardous areas are marked according to international standards	Beginning of activities and throughout	Supervision engineer
y) Confirmation that all vessels containing hazardous substances are labelled as to their content and hazard	Beginning of activities and throughout	Supervision Engineer
z) Number and nature of recorded spills of hazardous or toxic waste	Monthly	HSSE Officer
aa) Confirmation that spill cleanup and containment equipment is available on site, and that staff were trained to handle spills	Monthly	HSSE Officer
Borrow pits and Quarries		
bb) Records of a necessary permits for borrow pits and quarries (most materials are expected to be purchased rather than extracted)	Beginning of activities and throughout	Supervision engineer
cc) Confirmation that borrow pits and quarries are located away from watercourses, human habitations and historical or cultural sites, on land not used for agriculture, and properly fenced	Monthly	HSSE Officer
dd) Number and nature of complaints or incidents regarding borrow pits or quarries	Monthly	HSSE Officer
Worker Camps		
ee) Confirmation that worksites and plants were cleared of waste upon completion of works	At completion	HSSE Officer
Occupational Safety		
Lavatories and Showers		
ff) Availability of adequate lavatory facilities (toilets and washing areas) for the number of workers at the construction sites	Monthly	HSSE Officer
Potable water supply		

gg) Adequate supplies of potable drinking water is provided	Throughout	Supervision engineer
Personal Protective Equipment (PPE)		
hh) Availability and use of appropriate Personal Protective Equipment (PPE) at no cost for all workers	Throughout	Supervision engineer
Noise		
ii) Acoustical attenuation installed on construction equipment	Monthly	HSSE Officer
Health		
jj) On site availability of qualified first aid personnel	Monthly	HSSE Officer
kk) Records of the number and nature of accidents, injuries or illnesses (fatalities on site are to reported to UNOPS immediately)	Monthly	HSSE Officer
ll) Records of the number and nature of health awareness and education initiatives	Monthly	HSSE Officer
mm) Confirmation that all serious injuries or disease were properly investigated and reported to UNOPS	Monthly	HSSE Officer
nn) Records of screening and monitoring of workers for communicable diseases	Monthly	HSSE Officer
oo) Preventive measures taken to avoid vector-borne diseases	Monthly	HSSE Officer
pp) Measures are in place to reduce COVID-19 spread	Monthly	HSSE Officer
Road Safety		
qq) Number and nature of traffic accidents involving project vehicles & equipment	Throughout	Supervision engineer
rr) Number and nature of accidents involving non-project vehicles or property	Throughout	Supervision engineer
ss) Overall condition of vehicles/equipment based on maintenance records and spot checks	Monthly	HSSE Officer
tt) Reports showing that the Contractor sanctioned all reported instances of speeding, inconsiderate and risky driving	Monthly	HSSE Officer
Emergencies		
uu) Records of any event triggering an emergency	Monthly	HSSE Officer
vv) Records of emergency drills	Monthly	HSSE Officer
Labour Force Management		
Labor Conditions		
ww) Confirmation that the Contractor transported workers to and from construction sites	Monthly	HSSE Officer

xx) Confirmation that workers were provided with opportunities to regularly return to their families	Monthly	HSSE Officer
yy) Records of substance abuse prevention and management programs	Monthly	HSSE Officer
zz) Proof that locals were employed to the extent possible	Beginning and throughout the subproject	ESSO and supervision engineer
aaa) Records proving that the transfer of skills to local women was promoted through concrete measures, to facilitate their employment at Project sites	Beginning and end of subproject	ESSO
Worker Grievance Mechanism		
bbb) Availability of a registry of complaints by workers	Monthly	HSSE Officer
ccc) Number of worker grievances registered and resolved	Monthly	HSSE Officer
Child Labor		
ddd) Verifiable documentation showing that no person under 18 is employed	Monthly	HSSE Officer
Code of Conduct		
eee) Records of training on the Code of Conduct	Monthly	HSSE Officer
fff) Signed Code of Conduct	Monthly	HSSE Officer
ggg) The number and content of awareness training on sexual exploitation and abuse (SEA) and Sexual Harassment (SH) conducted by the Contractor	Monthly	HSSE Officer
hhh) Records showing that the Contractor investigated and sanctioned all reported instances of SEA/SH by workers or Contractor staff, and subcontractor	Monthly	HSSE Officer
iii) Records showing that the Contractor summarily dismissed workers having proven inappropriate relations with children under the age of 18 (eighteen) or engaged in SEA/SH	Monthly	HSSE Officer
jjj) Records showing that the Contractor fully cooperated with law enforcement agencies in investigating complaints about gender-based violence	Monthly	HSSE Officer
kkk) Monthly reports show that Contractor reported all SEA/GBV instances and responses	Monthly	HSSE Officer
lll) Confirmation that the Contractor established and facilitated a confidential reporting system for SEA/SH complaints	Monthly	HSSE Officer

mmm) Confirmation that the contractor provided a copy the Code of Conduct to all local communities in Arabic	Monthly	HSSE Officer
Stakeholder Engagement		
nnn) Records showing that the Contractor provided all workers with culturally sensitive training regarding engagement with local communities, including positive examples of behavior towards local populations	Monthly	HSSE Officer
ooo) Number and nature of documented stakeholder engagement activities	Monthly	HSSE Officer
ppp) Number and nature of complaints targeted at the Contractor	Monthly	HSSE Officer
qqq) Records showing that the Contractor satisfactorily resolved complaints	Monthly	HSSE Officer
Environmental and Social Monitoring by Contractor		
rrr) Register of environmental and social issues maintained and sufficiently detailed	Monthly	HSSE Officer
sss) Reports provided by the Contractor	Throughout	ESSO

***HSSE Officer will also conduct random checks*

SECTION V: FIDUCIARY AND PROCUREMENT MANAGEMENT

FINANCIAL MANAGEMENT

The project's financial management arrangements will be governed by the Financial Management Framework Agreement (FMFA), which provides for the use of UNOPS's financial regulations and rules. In this regard, UNOPS will: a) maintain a financial management system, including records and accounts, that is adequate to reflect the transactions related to the project activities, in accordance with the requirements of UNOPS' financial regulations; b) maintain a separate ledger account (Grant Control Account) to record the financial transactions of this project; and c) prepare, on a six-month basis, unaudited interim financial reports (IFRs), in accordance with accounting standards established pursuant to UNOPS' financial regulations and in the format agreed upon with the World Bank, which is adequate to reflect and track the expenditures related to the IDA grant. The unaudited IFRs will be provided to the World Bank no later than 45 days after the end of each six-month period.

UNOPS will ensure that the audit of project activities is governed by their financial regulations and the FMFA. Furthermore, UNOPS will retain, until at least one year after the World Bank has received the final financial report in which the last withdrawal from the Grant Account was made, all records (contracts, orders, invoices, bills, receipts, and other documents) evidencing expenditures in respect of which withdrawals from the Grant Account were made. The Grant Control Account will be subject exclusively to the internal and external audit arrangements applicable to UNOPS as set out in their financial regulations.

To provide reasonable assurance that project funds are spent for the intended purposes, the following arrangements will be in place:

- (a) reliance on UNOPS' internal control mechanisms and internal oversight functions throughout the financial management and disbursement arrangements, documentation of expenditures, and detailed reporting;
- (b) direct payments to contractors as well as controls around advances to local partners;

- (c) contracting technical experts to supervise the implementation of activities;
- (d) use of the TPM agent to verify the physical implementation of activities; and
- (e) UNOPS shall prepare, on a semi-annual basis, interim unaudited financial reports (IFRs). The IFR will include:
 - I. **Statement of Sources and uses of funds:** this statement includes reporting on **(a)** disbursements, by activity, made within the reporting period, cumulative for the fiscal year **and** cumulative disbursement since the project's inception, **(b)** planned disbursements within the same periods in point (a), **(c)** variance analysis between actual and planned level of disbursements and explanation for significant variances (if any) and **(d)** remaining amount yet to be disbursed under the project.
 - II. **Cash Forecast statement:** this statement reports on Projected Disbursements and calculates the needed funds to be transferred from the Bank taking into consideration available in the counterpart's account and outstanding advances to IPs (if any). Cash Forecast is typically assessed based on the project's historical level of disbursements.
 - III. **Reconciliation statement:** which compares the level of disbursements on the Bank's Client connection portal with the counterpart's records and report on deviations (if any).
 - IV. If applicable, reporting on the foreign exchange rate which was followed within the reported period.

The IFR should be submitted to the Bank no later than forty-five (45) days after the end of each semester.

In case of payments in Yemeni Rial and use of the market exchange rates. Stemming from concerns related to the difference in the Yemeni Rial (YER) - US Dollar (US\$) exchange rate between the southern and northern governorates of Yemen and the associated risks related to possible lack of transparency on how the project funding would be converted from US\$ into YER, the following arrangements have been agreed:

- a. A streamlined mechanism has been developed for the use of market rate in the south, similar to the one applied in the north by UN agencies. The new mechanism uses the

daily published market rate by the Currency Traders Association and maintains the funds in USD accounts in the north and the south while conversion to YER is made at the time of payment.

- b. UNOPS and its implementing partner will apply the new mechanism.
- c. The spot checks and annual audits of the implementing partner will ensure compliance with the new mechanism.

DISBURSEMENT PROCEDURES

UNOPS operates a range of bank accounts throughout the world, in areas where it has operations. In Yemen, UNOPS has bank accounts in both USD and YER in the International Bank of Yemen (IBY) and the Tadhamon International Islamic Bank (TIIB) in Sana'a. Wire transfers from the IBY account are only possible to other IBY account holders and the same case for TIIB. There is no Central Bank in Sana'a to process domestic payments within Yemen.

As a contingency plan and to tackle the above concerns and overcome the challenges in the banking system and financial institutes, UNOPS has contracted a cash supplier (Al Amal Micro Finance Bank) that can provide transfers to beneficiaries in Yemen in the below cities: Sanaa, Aden, Taizz, Ibb, Hadramaut, and other cities. Under the cash supplier modality, the project team would raise a request for payment to be paid via cash supplier. The project Finance team will process such a modality by creating a cash request dually signed by the authorized signatories. The project Finance team would send the cash request to the cash supplier for processing. Once the cash supplier sends the project Finance team a signed receipt from the beneficiary, they would release the cash to the cash supplier. As a result, UNOPS will always ensure the cash supplier will advance the money on the project's behalf rather than pay upfront. Disbursement of funds to the local Implementing Partner will be defined in the bilateral PCA between UNOPS and the Implementing Partner.

REPLENISHMENT OF UNOPS ACCOUNT

Disbursement from the World Bank to UNOPS is simplified to ensure timely availability of funds to implement the project. Disbursement to UNOPS's official bank in Head Quarters account shall be made based on the unaudited IFRs. Requests for disbursement will cover the projected expenditures

and activities for twelve months. Withdrawal applications, or new advances, will be submitted to the Bank when UNOPS has documented by submitting IFRs the disbursement of approximately 70% of previously withdrawn funds. The new advance will be requested to cover an amount representing UNOPS' good faith projection of the expenditures for the following twelve months, up to the project's closing date. Withdrawal applications would reconcile against amounts previously withdrawn against the project budget.

UNOPS receives grant proceeds into a centralized corporate account, and then allocates funds to the project. It starts implementation by transferring funds to its local accounts in Yemen and/or pays from any of its accounts externally depending on the contracts. The local accounts will be maintained by UNOPS' Yemen Office Finance Team and will be replenished on a regular basis. To mitigate potential challenges associated with using the local banking system, UNOPS has established an additional payment mechanism whereby it would use cash suppliers to make payments in the country.

SETTING UP THE PROJECT BUDGET

The PM, supported by the Project Finance unit, will create work packages that include various budget categories and further provide more details and customize as per the budget lines agreed with the World Bank, for the purposes of more effective budget tracking and reporting. The budget setup is reviewed by the Finance team in Amman Hub and sent to the IPAS Finance Unit in UNOPS' HQ. The latter will conduct a budget review and verify the setup against the signed agreement, financial reporting, UNOPS costs, etc. IPAS team, after verification, approved the budget on the UNOPS ERP System.

CONTRIBUTION INSTALLMENTS

Based on the contribution agreement, WB will wire installments to UNOPS as stated in the contribution schedule to the designated corporate bank account. Once the installment is received, the Finance team in Amman will request UNOPS HQ to apply it to the Project. The UNOPS Finance Group in HQ will apply it to the project on OneUNOPS by creating an accounts receivable entry. The entry will be recorded in UNOPS books in USD as received (as per market rate if in a different

currency). The Project operations will then be able to obligate the funds received against the project cash by raising Purchase Orders (POs) and disburse the funds through Request for Payment (RFP).

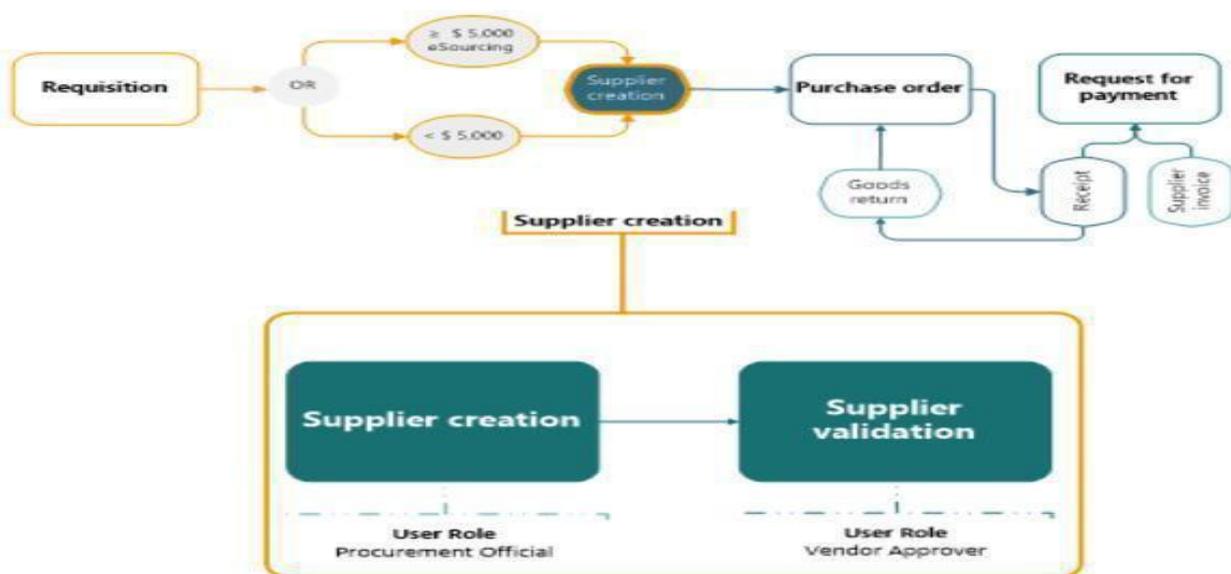
CASH FORECAST

In order to better control the level of cash, the Project is required to submit the cash forecast on a monthly basis to the Finance team in Amman. Based on the cash forecast, the Finance team in Amman will coordinate with UNOPS Treasury disbursements to the local bank account in order to ensure that the Project has sufficient cash available. The Finance team in Amman will also follow up and coordinate that the funds are received in a timely manner and monitor the cash in and out on a weekly basis.

SUPPLIER MANAGEMENT

The suppliers and the related payments will be managed through the vendor management process in UNOPS ERP System. A procurement official will be designated for the purpose. All suppliers will be requested to complete the “Vendor Request Form” based on which the procurement official will create the vendor profile on the OneUNOPS system (UNOPS ERP system). The profile will then be forwarded to a “Vendor Approver”– a function held in UNOPS Global Shared Services Center (GSSC) in Bangkok. The vendor approver will verify the vendor data by checking the supporting documents to ensure that beneficiary banking details are correct.

Figure 4: Supplier management process



WORKFLOW FOR REQUEST FOR PAYMENTS (RFPS)

The Yemen project team will create RFPs to pay suppliers and contractors on the UNOPS ERP system (OneUNOPS/ oU). The RFP is sent by the requester to the Finance Delegation of Authority Level 1 first reviewer in the Finance Team in Sana'a. The reviewer will be the first check from Finance on the RFP on the system along with all needed supporting documents. As per UNOPS Financial Rules and Regulations (FRRs), payment will be processed as per the following checklist:

1. The said payment is due and had not previously been made;
 - a) It is supported by documents which indicate that the goods and services for which the payment is claimed have been received or rendered in accordance with the terms of the contract and related commitment;
 - b) The payment is made against a recorded commitment;
 - c) No other information is available which would bar the payment.

In addition to creating the RFPs, the project team will need to provide the following supporting documents:

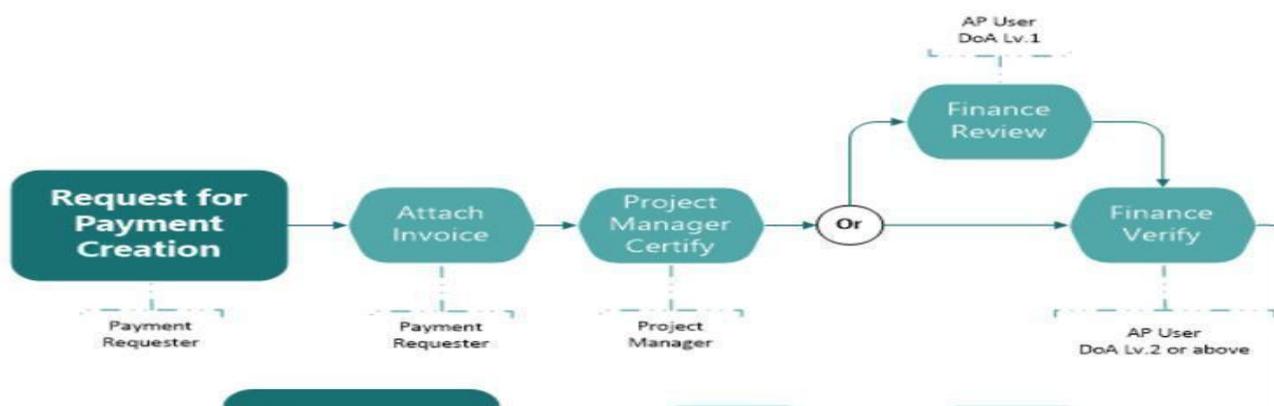
For Suppliers:

- a) Confirmation on receipts of goods & services
- b) Invoice/Delivery Order
- c) Copy of the contract
- d) Receipt and Inspection Report (if applicable)
- e) Copy of PO

For payments to Personnel:

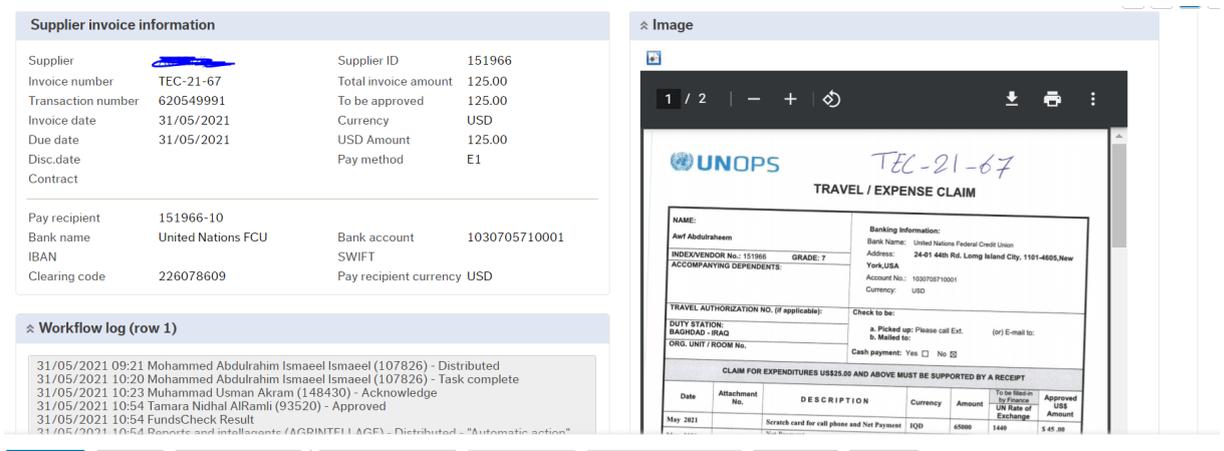
- a) Certified payroll
- b) Travel Authorizations signed by authorized personnel
- c) Travel and Expenses Claims signed by authorized personnel along with any supporting documents for expenses to be claimed

Figure 5: Request for payment workflow



In order to complete the payment, Finance Level 1 DOA will then send the RFP to Finance Level 2 DOA in the Finance team in Sana'a who is also assigned as Verifying Officer. Once the verifying officer approves the RFPs, the payment is then ready to be released.

Figure 6: Request for payment in OneUNOPS



Once the RFP is approved by the verifying officer, it will go through fund check and posting, before the remittance process can start. The Finance Team in Sana'a will verify the payment, as per the below segregation of duties:

- a) Between personnel who may verify that payments may be made on behalf of UNOPS and personnel who may disburse resources on behalf of UNOPS;
- b) Between personnel who receive funds on behalf of UNOPS and personnel who register the deposit of funds.

Once the payment is reviewed, it will be affected by the supplier/vendor. The OneUNOPS system is designed in a way that it will automatically pick the banking details for the beneficiary to be paid and directs the disbursements according to the bank where the payment will be released from. RFPs can be disbursed through corporate bank accounts or through the local office's bank accounts. OneUNOPS

has a built-in payment matrix that will automatically redirect the payment to the best UNOPS bank account for disbursement to the supplier/vendor.

The process is an automated one under the Treasury Management System (TMS). IBY is fully integrated with UNOPS ERP system where the minute payment is approved through the verification channels; it passes through the TMS process of integration and initiates a pay cycle. The pay cycle is automatically processed through a KYRIBA and initiates SWIFTS in IBY and payments are released without any human intervention. UNOPS is working to move this technology to TIIB and use the same modality. This eliminates human error and any potential fraud.

At the beginning of each month, the Finance Unit in Amman will upload the bank statements to the UNOPS ERP system. Under the Treasury Management System, bank reconciliation is automated and managed by HQ as a layer for oversight and supervision on all local bank accounts. Timeline for Finance functions. Table 2 below illustrates the expected timeframe for finance processes.

Table 1: Timeline for finance functions

Process	Duration	Responsibility
RFP Creation	1 working day	Project Team
Finance Level 1 Review	1 working day	Finance Team
Finance Level 2 Verification	1 working day	Finance Team
Remittance process (including release of payment)	1 working day	Finance Team
Receipt of payment in Beneficiary bank account	Depends on the bank account of beneficiary and country	Banking system

PAYMENTS TO LOCAL IMPLEMENTING PARTNERS

Payments to local implementing partners (it is only RAP for this project) by UNOPS will be made to cover for the partner's operation costs and the direct costs of consultants, suppliers and contractors.

Direct Payments: These will be affected in cases where the local implementing partner will conduct the full procurement process. The local implementing partner will need to submit RFPs to the UNOPS Project team in Sanaa along with all the aforementioned supporting documents. The payment verification process will be conducted on the request before the payment is disbursed. The request for payments received by the local implementing partner and the supporting documents will need to be certified by the Project Manager.

Indirect payments (advance): The local implementing partner to submit cash forecasts on a quarterly basis. UNOPS will advance the needed cash requirements to the bank account of the local implementing partner after review. The local implementing partner will have to submit full supporting documents to UNOPS upon depletion of 75% of funds and request replenishment with forecasted figures for each following quarter.

As part of the payment arrangement, the local implementing partner will be required to open a designated bank account for the project. In addition, as part of the reporting package, the local implementing partner will be required to submit to UNOPS bank reconciliation along with the reports on a quarterly basis.

PROCUREMENT ARRANGEMENTS

UNOPS will follow its own procurement procedures as Alternative Procurement Arrangements allowed by the World Bank's new Procurement Framework Policy Section III.F. UNOPS will have a procurement team within its office in Sana'a. It will be led by an experienced international procurement specialist who will oversee national procurement staff to carry out day-to-day implementation of procurement activities. Procurement decision authority is vested with the Project Manager (PM). The UNOPS Regional Director approves awards of contracts above US\$ 250,000 equivalent. Awards decisions above US\$1 million equivalent will be reviewed by the HQ Contracts and Property Committee (HQCPC) at UNOPS Headquarters. The Committee has virtual reviews twice a week. The Regional Director can request an ad-hoc meeting in the case of critical, time-sensitive

procurement. If purchase orders are placed against the existing Long-Term Agreements with UNOPS' suppliers, no reviews by the Committee are required.

UNOPS procedures require its regional committee's review for contracts above US\$250,000 even under emergency situations – a process that could take from ten to fourteen working days which may have an effect of delaying the procurement process. This risk will be mitigated by delegation of authority to the Yemen Country Office as needed, and also by invoking emergency procurement procedures within UNOPS which allows to have only one person from HQCPC to review and approve related procurement processes within less than 10 working days.

UNOPS will need to remain abreast of the local market response and the complexity of the banking system in Yemen, where local bidders must submit a bid and performance security from reliable local commercial banks. To that end, UNOPS has already carried out an initial market assessment. UNOPS will also take the necessary pre- arrangements to assess the possibility of signing agreements with local commercial banks to accept their securities and include the list of acceptable banks in the bidding documents. UNOPS will also assess the possibility of waiving the requirement for bid security for low-value contracts or may accept certified cheques from credible banks in Yemen.

UNOPS PROCUREMENT PRINCIPLES

Best value for money: UNOPS shall attain best value for money by ensuring the trade-off between price and performance provides the greatest overall benefit under the specified selection criteria. UNOPS shall consider among other factors, the optimum combination of the total cost of ownership (i.e. acquisition cost, cost of maintenance and running costs, disposal cost) of a purchase and its fitness for purpose (i.e. quality and ability to meet the requirements). The statement may not always mean selection of the lowest initial price option, but rather represents the best return on the investments, taking into consideration the evaluation criteria specified in the solicitation documents. It requires an integrated assessment of technical, commercial, organizational, and pricing factors in light of their relative importance, including social and environmental. Other sustainability and strategic objectives defined in the legal agreement with the partner must also be considered.

Fairness, integrity and transparency: Integrity, fairness and transparency and professionalism should be maintained by staff involved with the procurement process at all times. The procurement process shall be handled in a way that provides protection from proscribed practices, for example, fraud, corruption, collusion and other unethical practices, and must be conducted based on clear and appropriate regulations, rules, and procedures that are applied consistently to all potential vendors. Further, the manner in which the procurement process is undertaken must provide all internal and external stakeholders of the organization with assurance that the process is fair and transparent and that integrity has been maintained.

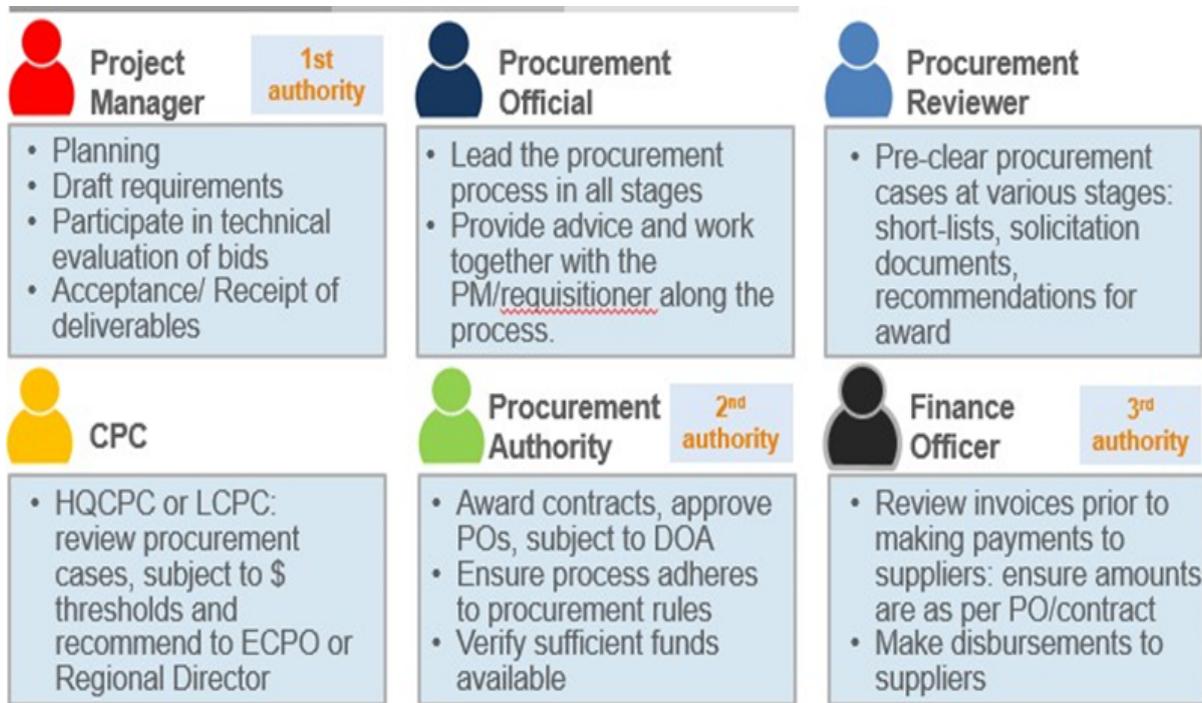
Effective competition: Ensure equal access of bidding documents and information through any clarifications. UNOPS fosters competition in all procurement processes, as a means of ensuring fairness, integrity and transparency. There may be, however, exceptional circumstances when competition is not feasible and this shall be justified in line with the exceptional guidelines. As competition is the basis for fair and transparent procurement, no restrictions should be placed on the competitive process by limiting the pool of potential suppliers unless explicitly mentioned in the legal agreements.

The best interests of UNOPS and its clients: Undertaking procurement in the interest of UNOPS and its partners shall refer to focusing on the achievement of the objectives set out in project agreements while maintaining the image and reputation of the organization. In doing so, UNOPS shall carry out background checks/due diligence of vendors prior to contract award.

ROLES AND RESPONSIBILITIES

There are four key roles within a procurement process: project manager/ requisitioner, procurement official, procurement reviewer, committing officers with procurement authority (PA). The responsibilities of these roles, as well as the essential segregation of duties measures among these roles, are set out in the Procurement Manual. See below figure.

Figure 7: Procurement roles and responsibilities in UNOPS



E-SOURCING

All procurement processes for a value of USD 5,000 or above must be carried out in the UNOPS eSourcing system. This excludes cases done under Emergency Procurement Procedures (EPP) and any other applicable exceptions set out in the Procurement Manual. All procurement activities related to this project will be advertised in the UNGM, Local Newspaper (when needed) and the YELCP website for the aim of attracting more local suppliers.

Figure 8: UNOPS eSourcing interface page



	Package/ Reference No.	Description of Goods/ Works	City	Good s/ Work s/NC S	Stat us	Est im ate d Co st(\$)	Date of Esti mate	Revi ew by UNO PS (Pri or/ Post)	Sol icit ati on Me tho d	Preq ualifi cati on (yes /no)	No Objection from UNOPS for Draft Prequalifi cation document s (Date)**	No Objection from UNOPS for Evaluati on of Prequalifi cation Applicati on (Date)**	Prep arati on of Bid Docu ment (Dat e)	UNOPS 's No Obje ction to Bid ding Docu ment (Date) **	Bid Invit ation (Date)	Bid Closi ng (Dat e)	Bid Openi ng (Date)	Contra ct Award Decisio n (Date)	UNOPS's No Obje ction to Bid Evaluati on Report and Contract Award (Date)**	Selecti on Metho d	Contra ct Signed (Date)	Comple tion of Contract (Date)	
Planned																							
Revised																							
Actual																							
Planned																							
Revised																							
Actual																							
#		Total																					

REQUIREMENTS DEFINITION

Requirements definition is a systematic approach aimed at defining the procurement with the purpose to identify the precise needs of the requisitioner and to determine the best solution to meet those needs. Requirements definition for goods and services can take the form of technical specifications, terms of reference or statement of work. For work requirements, these can be: terms of reference for design and other technical consultancy services for works, design document for works, Employer's Requirements for Design and Build Construction Contracts. Requirements must be generic and defined with the aim of engendering competition; no specific brands, or other unnecessary restrictions can be requested unless for justified standardization purposes.

PROCUREMENT METHODS

UNOPS Procurement Manual provides a detailed account on procurement methods. Table 3 below summarizes the different solicitation methods and respective procurement thresholds.

Table 2: UNOPS Procurement methods

Solicitation method	Contract estimated value	Requirement	Evaluation method	Envelope system
Shopping	< US\$5,000	Off-the-shelf goods, standard specification, simple services and works	Lowest priced most technically acceptable	No requirement for sealed offers
RFQ	US\$5,000 < US\$50,000	Requirement for goods, services or works is clear and specific.	Lowest priced most technically acceptable	No requirement for sealed offers
ITB	≥ US\$50,000	Requirements for goods, services or works are clearly and completely specified	Lowest priced substantially compliant	
RFP	≥ US\$50,000	Requirements for goods, services or works that cannot be expressed quantitatively and qualitatively or complex requirements that may be met in a variety of ways	Cumulative analysis	

PROCUREMENT PROCESS

SOURCING

Sourcing is carried out by two main methodologies:

- a) Market research, including through internal and external sources; and
- b) Advertisement of business opportunities, through either open competition solicitation, or through sourcing methods (RFI, EOI, pre-qualification). All UNOPS business opportunities must be advertised on UNGM and on any website/media specified as mandatory in the project agreement. In addition, it should be advertised or distributed in a manner that, according to the nature and circumstances of the requirements, would lead to the most beneficial responses. If the sourcing process is used to create a short list of suppliers to be invited to a limited competition tender, supplier selection must follow the provisions set out in the Procurement Manual, and the short list must be approved by the relevant PA.

SOLICITATION

Solicitation is done either through formal methods of solicitation or exceptions to formal methods of solicitation. Unless exceptions to the use of formal methods of solicitation are justified, procurement contracts shall be awarded on the basis of effective competition which include:

- a) Acquisition planning for developing an overall procurement strategy and methodology;
- b) Market research for identifying potential contractors;
- c) Competition on as wide a geographic basis as is practicable and suited to market circumstances; and
- d) Consideration of prudent commercial practices (Fin. Rule 118.03).

Open international or national/regional competition is the default method of competition. In the event of a valid reason (as set out in the Procurement Manual) for not holding an open competition and if approved by the PA, a limited competition tender may be issued where only selected vendors are invited to participate in a solicitation.

Limited international and national/regional competition is restricted to a short list of suppliers selected in a non-discriminatory manner from rosters, pre-qualifications, expressions of interest, market research, etc. There are four solicitation methods: Shopping, Request for Quotation (RFQ), Invitation to Bid (ITB) and Request for Proposal (RFP). The first two are considered non-formal methods (to be used for procurements up to USD 5,000 in the case of shopping, and up to USD 50,000 for RFQ) and the latter two as formal methods of solicitation to be used for values equal or above USD 50,000. For procurement of works, the specific solicitation documents for works must be used.

For the procurement of works, to ensure that the necessary standards for design of UNOPS projects are followed, it is mandatory that prior to commencing the tender process, all infrastructure designs and technical specifications have been reviewed and assessed for design risks according to UNOPS applicable design planning manual and that IPMG has issued a Certificate of Design Review Compliance.

Contracts must be awarded in accordance with the evaluation methodology that corresponds to the selected solicitation method: 'lowest priced, most technically acceptable offer' methodology for RFQs and shopping; 'lowest priced substantially compliant offer' for ITBs, and 'cumulative analysis of

technical and financial proposals for RFPs as per definitions included in the Procurement Manual. The evaluation criteria should include as applicable: formal and eligibility criteria, qualification criteria, technical criteria, and financial criteria.

The solicitation documents must be approved by the relevant PA prior to issuing with prior pre-clearance by a Procurement Reviewer if applicable. The deadline for submission should allow vendors a sufficient number of days to prepare and submit an offer. Unless otherwise approved by the PA, the following minimum solicitation period 9 applies: 5 calendar days (RFQ), 15 calendar days (ITB for goods and works), 21 calendar days (ITB for services and RFPs).

Pursuant to the project agreement and subject to review by a contracts and property committee(s) where necessary in accordance with the FRRs, the ECPO or authorized personnel may authorize the issuance of contracts in reliance on the pre-selection of a contractor or implementing partner by the funding source, per further provisions detailed in the Procurement Manual.

MANAGEMENT OF SUBMISSIONS

It is the responsibility of suppliers to ensure that offers are submitted to RAP/UNOPS in accordance with the stipulations in the solicitation documents. Bidders may modify or withdraw their offers only prior to the submission deadline. For procurement values equal or exceeding USD 50,000 (except for RFQs under secondary bidding under a LTA, RFQs under Emergency Procurement Procedures and processes done with the eSourcing system) an individual not directly concerned with the procurement function must be appointed to receive all offers. For ITBs and RFPs, a bid opening panel must be appointed by the PA and consist of a minimum of two individuals, where at least one individual has no involvement in the subsequent stages of the procurement process, except for processes carried out with the eSourcing system, and documented waivers of segregation of duties in small offices. The bid opening report shall be available for viewing by bidders who submitted bids and may be made available electronically if the bidder requests a copy.

EVALUATION

Evaluation is the process of assessing offers in accordance with the evaluation methodology and criteria stated in the solicitation document. Prior to starting the evaluation, the PA must approve the composition of an evaluation team comprising of minimum two members per provisions in the Procurement Manual. As part of the evaluation, it is recommended to always undertake an assessment of the reasonableness of price to establish value for money, and such justification is mandatory when less than three substantially compliant offers have been received.

The results of the evaluation shall be documented in an evaluation report to be signed by the evaluation team members. After completion of the evaluation but prior to award, UNOPS shall conduct background checks/due diligence on the bidder recommended for award to verify that the bidder meets the criteria set forth in the solicitation document or as appropriate to the nature of the procurement process, and may reject a bidder on the basis of these findings, which shall be documented. Further provisions including the tiered risk approach to be followed for background checks are included in the Procurement Manual.

REVIEW AND AWARD

All procurement activities are subject to a review process prior to award. The review process should ensure that that appropriate authority has been obtained for the commitment of funds; that the best interests of UNOPS and its clients are protected; and that the procurement activities are carried out in conformity with UNOPS FRRs, relevant policies and procedures and are in accordance with generally recognized leading business practices. Procurement review shall be done by either: (a) the PA directly, (b) a Procurement Reviewer, or (c) a contracts and property committee (CPC), subject to the applicable thresholds. Award is, as per UNOPS FRRs, the authorization given by authorized personnel to establish a commitment. Contracts are awarded by the relevant authorized PA, and when applicable, based on recommendations from a CPC. Requests for award for any works contract must include a contingency sum of between 6 percent and 12 percent in the procurement submission except in situations identified in the Procurement Manual. UNOPS posts on its website (<http://data.unops.org/>) information about all awarded purchase orders, upon approval in the ERP system (OneUNOPS). Furthermore when a tender process has been carried out using the UNOPS eSourcing system, information on the contracts awarded will be posted on the UNGM website.

CONTRACT FINALIZATION AND ISSUANCE

Written procurement contracts shall be used to formalize every procurement activity with a monetary value of USD 2,500 or above. All contracts must be signed by a PA on behalf of UNOPS except when the purchase order generated in the UNOPS ERP system (OneUNOPS) is used as the contract itself and it has been approved electronically by an appropriate PA in the ERP system.

Contract management and administration is the responsibility of the project manager/requisitioner as supported by the procurement official in charge of the procurement process. Contracts may be amended further to the provisions set out in the Procurement Manual, and may require a prior review by a CPC subject to applicable thresholds.

COMPLAINT HANDLING PROCEDURES

Procurement protest procedures are provided for in the UNOPS Procurement Manual. Suppliers perceiving that they have been unjustly treated in connection with the solicitation or award of a contract may lodge a complaint directly with the UNOPS General Counsel. All bidders must be informed of UNOPS independent bid protest procedure in the solicitation documents as well as in subsequent contracts. Under no circumstances will the personnel involved in the procurement activity under complaint be allowed to participate in the review of the protest. The General Counsel will make an initial assessment of the complaint and may, at the Counsel's discretion, seek clarification from the PA responsible for the procurement process or any other personnel. The General Counsel will issue a response to the supplier. This response will reflect the final formal position of UNOPS on the matter. Suppliers filing complaints may be granted clarification meetings with the General Counsel in order to better understand the rationale for UNOPS' final decision on the subject. Any further appeals by the supplier must be dealt with through arbitration, in line with the provisions in the solicitation documents. The solicitation documents shall contain a paragraph informing potential suppliers of the independent protest mechanism in UNOPS.

EMERGENCY PROCUREMENT

The UNOPS Financial Regulations and Rules (FRR) provide for exception to the use of formal methods of solicitation in clearly defined emergency situations (FRR 118.05 (b)). UNOPS has a set of formal procedures in place to be able to rapidly respond in emergency situations without waiving competition. EPP are based on the informal solicitation method of Request for Quotation (RFQ) for all requirements, irrespective of procurement value, and they come with a set of other processes which help make procurement easier and faster during emergencies. At UNOPS, special situations which justify the use of EPP are limited with the underlying principle being that the emergency situation is defined as “where there is clear evidence that an event or a series of events has occurred which imminently threatens human life/lives or livelihoods, and where the event or a series of events produces disruption in the life of a community on an exceptional scale”. The other consideration is that use of the EPP is subject to the prior written approval by the UNOPS Executive Chief Procurement Officer (ECPO).

Pursuant to Fin. Rule 118.05(b), the ECPO has authorized the Director, PG, to establish the following emergency procurement procedures:

- a) Definition of emergency situation: “urgent situations in which there is clear evidence that an event or a series of events has occurred which imminently threatens human life/lives or livelihoods, and where the event or a series of events produces disruption in the life of a community on an exceptional scale.”
- b) Based on the definition mentioned above, the ECPO determines when there is an emergency situation justifying use of the emergency procurement procedures. Therefore, requests for approval of the use of the emergency procurement procedures must be presented to the ECPO using the standard corporate template.
- c) Upon approval by the ECPO of the use of the emergency procurement procedures, Request for Quotations (RFQs) may be used for solicitation of offers regardless of the value of the procurement. Notwithstanding section (b) above, where such ECPO approval has been granted, the solicitation of offers using an RFQ shall be deemed to be a formal method of solicitation.
- d) Save as stated in the following paragraph, the PA for awards made under emergency procurement procedures is the same as for normal awards.

- e) At his/her discretion, the ECPO may decide that only the Headquarters Contracts and Property Committee (HQPC) and not a Local Contracts and Property Committee (LCPC) can review submissions under emergency procurement procedure requiring committee review. The committee designated to review emergency procurement submissions will be indicated by the ECPO at the time of his/her approval. If a CPC review is required according to the OI establishing CPC scope and thresholds, the following simplified review process is established for emergencies:
 - f) Procurement undertaken following the approval of the ECPO to use emergency procedures can be submitted to the relevant PA for award through the chairperson of the relevant contracts and property committee.
 - g) There is no requirement for a full committee review, but the chairperson reviews and provides written advice to the relevant PA. Alternatively, an ad hoc meeting of the relevant CPC can be called at the discretion of the chairperson.
 - h) The approval for use of EPP is time- bound, limited to a specific operation and may also be limited to the procurement of defined products in relation to a specific operation. Contract awards can only be done outside the approved EPP period provided the solicitation process for that procurement activity was initiated within the EPP period.
 - i) Additional instructions on emergency procurement procedures are set out in the Procurement Manual.

PROCUREMENT CONDUCTED BY LOCAL PARTNERS

For procurements conducted by the local partner, the Third Party Monitoring (TPM) agent will review the implementation of procurement activities as per the agreed upon procedures, and report on any deviation. For procurements to be conducted by the local implementing partner, RAP will follow the proposed APA arrangements to be consistent with the procurement rules and procedures of UNOPS and as per the agreement between UNOPS and RAP.

In general, prior to commencing its procurement processes for consultancy services, RAP will prepare the technical specifications that will be reviewed and agreed with UNOPS. Following the completion

of the bidding process and technical review, RAP will share the full procurement package with UNOPS for review and no objection before awarding the contract.

Once the goods are received/ construction is completed, RAP, will submit the receiving and inspection report (RIR) certification to UNOPS Project Manager, following which the payment would be released by the Project finance section as per the previously described procedures. While the local implementing partner will support UNOPS in the supervision, certification of payments will be only done by authorized UNOPS personnel.

Procurement activities directly implemented by UNOPS will fully adhere to UNOPS procurement principles, rules and regulations. In such occasions, local entities will prepare necessary technical specifications; requirements and submit to UNOPS PM.

SCREENING COMPANIES/INDIVIDUALS

UNOPS will ensure prescreening the companies/individuals before awarding any contract financed by the project against the World Bank's lists of sanctioned or temporarily suspended companies. UNOPS will ensure that the implementing partner (RAP) has procedures in place for such screening.

MAINSTREAMING GENDER IN PROCUREMENT

UNOPS shall undertake steps to mainstream gender through procurement activities, these shall include:

- a) Identify Women Owned Businesses in Yemen that UNOPS can work with
- b) Identify and reserve some procurement of small-medium financial value for Women Owned Businesses; as this will increase participation of women in doing business with UNOPS. The lots to be reserved shall be carefully selected in line with capacity and expertise of the business activities owned by women.
- c) Run training and capacity building sessions for Women Owned Businesses on UNOPS procurement processes, requirements, registration on UNGM that will enable them to participate in any tenders that may arise.

- d) All bidders must adhere to the minimum percentage (10%) of females in their workforce. The below shall be included under the qualification criteria in all tenders

The bidder must hire or have in place female employees, that should constitute at minimum 10% of the company's overall workforce, bidders are encouraged to include female employees among the proposed key personnel for this contract and/ contract representatives. Bidders must submit the company organogram with clear indication of the job titles/portfolio that the female employees hold in the company. The job description and CVs for the female employees shall be submitted along with the bid, these employees must be in place at the time of submitting the offers and preferably have permanent employment with the company.

CAPACITY BUILDING

UNOPS Procurement department shall organize and run periodic capacity building sessions with its

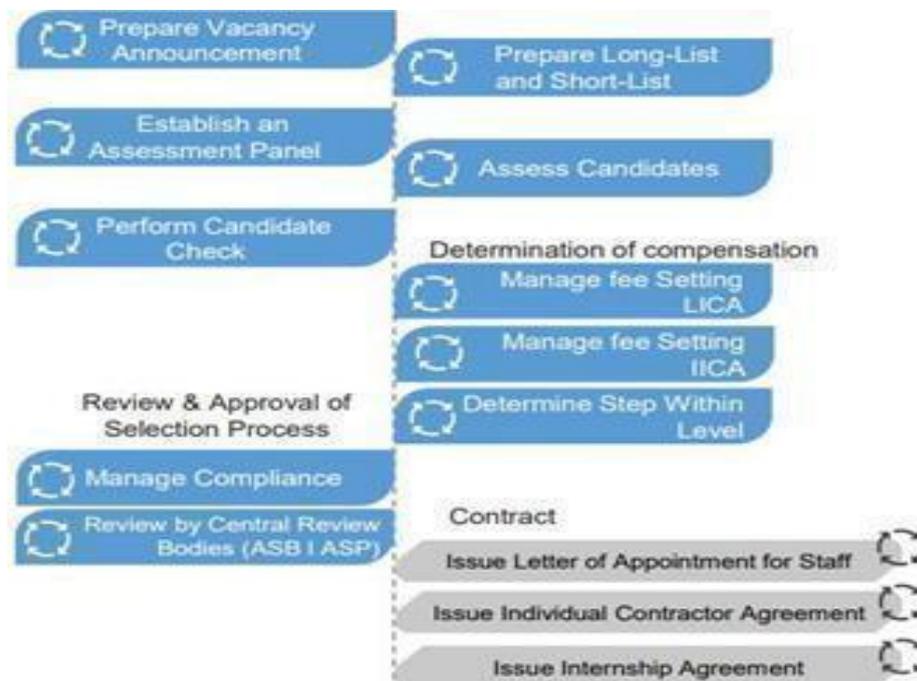
- ttt) Contractors/Suppliers on UNOPS procurement guidelines, requirements, esourcing, registration in UNGM
- uuu) Implementing Partners on Procurement best practices, procurement guidelines and requirements, contract management

HUMAN RESOURCES MANAGEMENT

The project will benefit from the UNOPS human resource system, which is defined by the high quality of services and cost efficiency, adaptability to operational needs and operational solutions to facilitate project-based nature of operations, and transparency. UNOPS administers two types of contracts – UN staff contracts and the local and international Individual Contractor Agreement (LICA/IICA) – and this project will utilize both modalities. The UN staff contracts are subject to the UN Staff Rules and Regulations, and will be used to recruit personnel who will perform core functions for the project, such as the Project Manager, and Finance, Procurement, and Security Officer posts. The ICA modality is a non-staff, flexible personnel contract that accommodates for the project nature of UNOPS and at the same time offers a long list of benefits to the contract-holders. The rest of the project personnel will be recruited on LICA and IICA contracts.

In recruiting personnel, UNOPS will employ competitive selection. This is a standard and preferred method of recruitment for all positions, regardless of the contractual modality. The competitive selection process can be completed by open competition or limited competition. In the case of open competition, the process includes posting a Vacancy Announcement (VA), interviewing shortlisted candidates and conducting/documenting reference checks. In the case of limited competition, the process includes identifying candidates from an established roster followed by a desk review and conducting/documenting reference checks. The competitive process is summarized in the below chart.

Figure 10: UNOPS recruitment process



SECTION VI: OTHER PROJECT MANAGEMENT ASPECTS

RISK MANAGEMENT

All projects encounter uncertainty when trying to achieve their objectives of delivering an agreed scope and benefits to an agreed time, cost and quality. This uncertainty may arise from events inside or outside the organization. Inspired by international standard for risk management ISO 31000 definition, UNOPS defines “risk” as “an uncertain event - threat or opportunity - that, should it occur, would have a positive or negative effect on the achievement of an entity’s objectives”.

The Risk and Quality Group (RQG) has been established in UNOPS’ HQ with the mandate to support UNOPS regional and country teams to develop and maintain risk registers at various organizational levels. Through the OneUNOPS system, the PM can view the project’s performance and risk profile – see figure 11.

In accordance with the above, UNOPS risk management approach necessitates clear roles and responsibilities for identifying, assessing and managing risks associated to the project; focusing project efforts on responding to key risks with relevant organizational consequences; provide guidance and support to raise confidence, quality and align the project risk exposure with the identified tolerances; and ensuring appropriate transparency and visibility to the project governing bodies and relevant authorities in relation to the adopted approach for managing project risks.

The project operates in a high-risk environment with multi-folded risks in which the PM will create, maintain, and undertake periodic risk management in accordance with the established UNOPS risk management approaches. Periodically review the project risks in line with the UNOPS risk management approach. The risk management approach will be approved by the Regional Management and Oversight Advisor and the Regional Director, who has overall authority for risk management in the region.

Figure 11: Risk profile example in OneUNOPS



A risk register has been developed in consultation with the World Bank and project stakeholders. The risk register will be updated and monitored in accordance with the established risk tolerance applied for UNOPS project, as per the table below:

Table 3: Monitoring risk levels and proximity

	4. High	AVERSE: Recommended response and approval through escalation to relevant authority	Regular reporting on the status of risk, review and monitoring	Continuous reporting on the status of risk, review and monitoring		
	3. Medium to High	CAUTIOUS: Recommended response and approval of assigned risk owner				
	2. Low to Medium	COMFORTABLE: Optional response	Quarterly monitoring and review during QA	Monthly monitoring and review		
	1. Low	INCLINE Optional response Quarterly review during QA	Quarterly monitoring and review during QA	Quarterly monitoring and review during QA		
	Opportunity	INCLINE Optional response Quarterly review during QA	Quarterly monitoring and review during QA	Monthly monitoring and review		
RISK PROXIMITY			Far	Middle	Close	Imminent

RESULTS MONITORING AND EVALUATION

UNOPS will be responsible for (i) reporting and follow up on overall achievement of indicators defined in the results framework of the project, and, (ii) quality assurance of the project and the necessary data verifications at sub-projects and Project levels through frequent monitoring assurance processes.

UNOPS will use a range of conventional and innovative monitoring approaches. The PM based in Sana'a will have the overall responsibility for monitoring and evaluation (M&E) activities. An M&E expert will provide the necessary coordination, support and oversight to the local implementing partner in conducting M&E activities (data collection and verification) in line with the Results

Framework of the project. Project officers will conduct regular project site visits, meetings with key stakeholders; verifications and quality checks to ensure a programmatic approach of sub-projects.

The project team will undertake monitoring of the activities under the overall guidance of the PM and technical guidance from M&E Officer. Formal and informal feedback will be solicited from beneficiaries and other relevant stakeholders as part of field visit, community engagement activities, analysis of grievance redress mechanism.

In addition, innovative technique including GIS mapping, real-time monitoring using mobile technologies and engaging local communities are the extra measures to be taken in support of transparent and accountable monitoring mechanisms. All monitoring activities will be closely reviewed and adjustments will be made throughout the life of the project to ensure it remains effective, efficient, and relevant to the operational context while ensuring quality and reliability of data and reporting, to the extent possible. A monitoring schedule will be developed and monitored for each sub-project with estimated duration that exceeds 3 months. The level of activity details to be included in the schedule will reflect project complexity and required resources to achieve project objectives.

THIRD PARTY MONITORING

Under the Project, UNOPS will engage a third-party monitoring Agent (TPMA). The TPMA will be contracted and supervised by UNOPS while operating independently in verifying the results of identified subprojects and Project's activities. Based on a developed ToR by UNOPS and prior review and clearance of the WB, the main Objective of the TPMA will be to undertake independent results verification of subprojects and identified activities funded under the Project to report on the technical quality of the outputs, the achieved results, the safeguard processes, red flag issues and possible risks for delays and mitigation measures followed by local contractors and suppliers.

The main tasks of the TPMA shall be as follows:

- Verification during subproject implementation that individual subprojects meet quality and technical standards to achieve desired results;
- Verification of existence of sub-projects' deliverables and final results at the time of completion to confirm the benefits for the intended beneficiaries;

- Identification and immediate reporting of any irregularities or red flags to UNOPS for action while carrying out its responsibilities;
- In agreement with UNOPS, follow up on the flagged issues/ red flags and report those in the following reporting period.

The Project's implementation and procurement plans will be used as a basis for determining the location and the timing of the site visits depending on the type and completion status of each subproject. UNOPS will provide the electronic copies of these documents to the TPMA. Locations and minimum number of site verification visits, to be conducted by the TPMA staff, will be planned in accordance with the Project's implementation schedule and per the TPM ToR. The reporting format and data collection/analysis procedures may be adjusted during implementation subject to UNOPS approval. The TPM reporting will include the following requirements:

- a) Desk review and reporting for all subprojects activities
- b) Physical verification of deliverables and results
- c) Verification of Community Engagement
- d) Verification of Safeguards Compliance

Financial Oversight. All accounting procedures, and financial management and auditing requirements are subject to the standard UNOPS procedures and are outside the purview of the TPM. UNOPS may request the TPMA, under UNOPS' supervision, to verify that these procedures/systems are in operation and are being implemented by the Local Partner to satisfactory standards. In the event that UNOPS determines that the TPMA should perform this function, the TPMA would agree with UNOPS on the reporting format and verification protocol.

REPORTING

UNOPS will keep the WB team well informed of the project status and challenges. A biweekly e-meeting (conference call/WebEx) will be the platform for both teams to exchange ideas and information. UNOPS will formally submit to the Bank the following reports in accordance with the agreed template by the WB team and UNOPS:

A) Technical Progress Reports

They will include:

- a) Summary of the progress and the context within which the project is implemented;
- b) The activities carried out during the reporting period;
- c) Challenges encountered and measures taken;
- d) Changes introduced during implementation, including changes in the budget;
- e) Achievements and results of the project with reference to identified indicators;
- f) Planned activities for the following period, and
- g) Implementation progress of the procurement plan and status of contracts
- h) The status of implementation of the ESCP including (i) conditions, if any, which interfere or threaten to interfere with the implementation of the ESCP and (ii) corrective and preventive measures taken or required to be taken to address such conditions.

B) Financial Reports

UNOPS will prepare, on a semi-annual basis, interim unaudited financial reports no later than forty-five (45) days after each subsequent semester covering such six (6) months period in accordance with its Financial Regulations and accounting standards acceptable to the World Bank. In addition, UNOPS will submit the Certified Final Financial Statement after 6 months of the end of the agreement.

C) Procurement Reports

UNOPS will prepare and furnish to the World Bank reports on the implementation of the Procurement Plan no later than forty-five (45) days after each subsequent reporting period. The reports will highlight the implementation progress, procurement challenges/risks and how they were addressed/mitigated, and procurement complaints received, if any, and how they were dealt with.

D) TPM Reports

1) Quarterly Progress Reports. Each TPM report prepared by the TPM Agent will cover a period of three (3) months and will be submitted to UNOPS no later than 15 days after each subsequent reporting period. UNOPS, upon receipt of the TPM report from the TPM Agent(s), will promptly furnish said report to the World Bank and no later than five (5) calendar days from the receipt of the TPM Agent's report with any comments that UNOPS may have. Each TPM report shall

contain recommendations, if any, for improvement of subprojects' oversight, and the summary of the identified and reported red flags and irregularities to UNOPS, including follow up of red flags and irregularities. The TPM Agent and UNOPS will agree on performance indicators to be included in the work/monitoring plan.

- 2) **Annual Reports.** The TPM Agent will submit an annual report within 30 days of the end of reporting period. The report will consolidate the previous three quarterly reports, as well as reflect the final quarter per the format agreed with UNOPS.
- 3) **Completion Report.** The completion report would be prepared at the end of the assignment and is expected to give a candid assessment including lessons learned.

E) Results Remote Monitoring

As part of the reporting process, UNOPS will provide updated GIS maps of the project areas to help monitor progress. UNOPS will deploy a digital platform to collect project data and information on project progress, quality, environmental and social issues, grievances, Occupational Health and Safety (OHS), protection against GBV, road traffic safety, etc. The platform should have the capability to produce reports with geotagged photos, videos, and 3D displays demonstrating changes before and after sub-project interventions. UNOPS will provide the World Bank team and the TPMA with full access rights to the platform for viewing and downloading project information to enable remote monitoring.

SEXUAL EXPLOITATION AND ABUSE AND SEXUAL HARASSMENT

ASSESSING SEA/SH RISKS AND CAPACITY TO RESPOND

SEA/SH Risk Assessment: assessment of the risk of exacerbation of SEA/SH at the community level and to assess the project-related risk of exacerbating SEA/SH, there are two essential issues to consider. First, the country and/or regional context in which the project takes place, and second, the potential risks that the project may bring. These SEA/SH risks need to be assessed throughout the project's life by monitoring the situation, assessing the effectiveness of risk mitigation measures, and adapting them accordingly (see Figure13). When continuous monitoring efforts detect changes to the identified SEA/SH risks and/or actual incidences of SEA/SH, projects will need to adapt the SEA/SH risk level and mitigation strategy.

Figure 12: SEA/SH Mitigation Strategy



Task 1.1: Conduct SEA/SH risks assessments at project sites

SEA/SH risk assessments will be conducted for each subproject site before initiation of works as part of the technical assessment and general risk assessment for the project. The identified risks together with mitigating measures will be included in the HSSE plan for the project sites.

Task 1.2: Capacity Assessment of the local capacity to prevent and respond to SEA/SH, including the availability of safe and ethical service provision for survivors.

Task 1.2.1: Strengthening SEA/SH service provision and referral pathways

- **Assessment of existing GBV service providers in project areas.** The UNOPS The project GBV officer will provide a GBV service mapping that will serve as baseline data on service providers. The GBV officer, with support from WB and UNOPS specialists and other relevant organizations particularly within the GBV sub-cluster, will further delineate the project-related referral pathways and protocols based on available information on GBV referral services in project areas. The objective is to enable provision of quality response services for survivors (e.g., case management, medical, legal and psychosocial support) in project areas.
- Development of referral protocols and procedures (e.g. informed consent protocols) to enable access to services for survivors.
- Securing funding for GBV service referral and case investigation: UNOPS and its implementing partner will request the inclusion of a provisional sum in contractor SEA/SH Prevention and Response action plan costing, to cover the referral of SEA survivors with eligible complaints to existing GBV services in project areas, as well as case investigation.

Task 1.2.2 Strengthen institutional capacity for SEA/SH risk mitigation and response

- **Strengthen coordination and collaboration** with relevant GBV/SEA actors in Yemen, in particular the Protection Cluster, GBV sub-cluster and Child protection sub-cluster to tap into the existing referral system in project areas.

Task 1.2.3 SEA/SH capacity building of the project implementing partner

- **Sensitization and training of implementing partner staff on expectations around SEA/SH.** UNOPS will conduct training sessions on SEA/SH for the staff of the Implementing Partner. With support from UNOPS, as required, the Implementing Partner will subsequently ensure that its direct workers, partners, sub-contractors and suppliers are **made aware of the CoCs and SEA/SH** and child protection risk issues as part of their induction. The Code of Conduct should be disclosed to the bidders as part of the bid; bidders must commit to adopting it and ensuring that all workers sign it before being allowed on the project site.

- **Establishment of misconduct response systems.** The local Implementing Partner will be supported to develop SEA/SH misconduct response systems which will apply under ELCP implementation, and which will ensure organizational responses for misconduct of any worker of the Implementing Partner. These responses will comply with the relevant UN protocols on management of SEA/SH risks and will include the implementation of sanctions for violations of worker CoCs. UNOPS has Prevention of Sexual Exploitation and Abuse (PSEA) mechanisms and SEA/SH misconduct response systems in place, which will ensure organizational responses for misconduct of UNOPS staff during the implementation of ELCP.

ADDRESSING SEA/SH RISKS

Task 2.1 Establishment of SEA/SH channels and procedures for the Grievance Mechanism (GM)

- ELCP will have a GM that handles complaints and feedback from all stakeholders involved in the project. Cases of SEA/SH can be reported through the main channels of the general Project GM.
- The GM should consider inclusion of key features on enabling reporting of SEA/SH cases: 1) Provide multiple channels to receive complaints; 2) IT-based solutions such as web-based Grievance registration systems and hotlines; 3) Communicate GM services at the community level to create SEA/SH awareness and enable project-affected people to file complaints.
- The GM focal point will be trained on key protocols including referral, reporting and informed consent protocols to receive those cases in an appropriate manner and immediately forward it to the SEA/SH referral system.

Task 2.2 Communication to project affected communities about SEA/SH risks and mechanisms:

- **Community awareness on SEA/SH.** Education and raising of awareness for project beneficiaries of SEA/SH and their legal rights will be provided as part of the project activities and stakeholders' engagements. Project beneficiaries should be made aware of the laws and services that can protect them and provide redress in case of an incident. The project will create any necessary IEC materials with the help of the GBV officer and supervision of WB and UNOPS. CoCs will be made available to the public in the project areas, especially to identified project stakeholders, to raise awareness of expected behavior

of any project-related worker and mechanisms for reporting should those workers be in breach of the CoC.

- **Gender-sensitive communication channels:** Disclosure will take place through multiple communication channels to be identified, taking into consideration women's safety when designing and distributing information. For instance, information on cards, pamphlets and/or posters will be distributed in sex-segregated sessions (female only and male only sessions) or during interaction between community members and project staff of the same sex.

Task 2.3 Sensitization and capacity building of contractors and suppliers on SEA/SH in the project:

- **Pre-bid vendor conferences on SEA/SH requirements.** Three vendor conferences for all suppliers and contractors will be held prior to the launch of tenders, to sensitize them to the UNOPS SEA/SH tender requirements.
- **Development of SEA/SH prevention and response action plan guidance and checklists.** UNOPS, and in particular the GBV officer, will develop guidelines and checklists for contractors on how to develop a simple and implementable SEA/SH prevention and response action plan, which will be included as a tender requirement for high-value contracts.
- **Selection and sensitization/training of selected contractors.** Previous high-value contract contractors (above 500.000 USD) will be identified and trained on developing and implementing an SEA/SH prevention and response Action Plan as per the developed guidelines and checklists. This will happen during the initiation phase of the project.
- **Development of training and communication materials.** UNOPS, and in particular the GBV officer, will develop training and communications materials to be used by contractors to sensitize their workers to SEA/SH. The material will as a minimum include explanation of SEA/SH, expectations for behavior and conduct, sanctions for violations, roles and responsibilities of the contractor, SEA/SH incident reporting mechanism and referral procedures.

Task 2.4 Roll-out of SEA/SH requirements in tender processes

- **Phased roll out of the SEA/SH prevention and response Action Plan requirement.** The SEA/SH prevention and response Action Plan requirement as described above will be

introduced with high-value contracts for the first 12 months of the project. If successful, it will subsequently gradually be rolled out to other contracts.

Task 2.5 Establishment of a Reporting Protocol

- **A strong SEA/SH reporting Protocol** will ensure timely and safe reporting of SEA/SH incidents. Beneficiaries and communities should be informed of the availability of varying channels of reporting for allegations related to SEA/SH. This will be made explicit in all community awareness sessions, as well as be part of the publicly disclosed information.
- **Appointment of PSEA/SH Focal points at sub-project level.** UNOPS in collaboration with its local Implementing Partner will ensure that a PSEA/SH focal point is designated for all subprojects. The PSEA/SH Focal points will be the designated person to adequately handle SEA/SH complaints, if received directly and/or outside of the GM. They will have specific responsibilities and will be trained on SEA/SH mechanisms. The UNOPS GBV officer will identify specific responsibilities and train the Focal Points on SEA/SH mechanisms.
- **Cases of SEA** can be reported through the Project GM, PSEA focal points, or through the grievance mechanisms of any other humanitarian agency. The project GM and SEA focal points will ensure appropriate response by 1) providing a safe, non-judgmental and caring environment and respect the confidentiality and wishes of the survivor; 2) provide reliable and comprehensive information on the available services and support to survivors of SEA; 3) If the survivor agrees, obtain informed consent and make referrals.
- If such cases are reported through the Project GM, the GM operator/ focal point needs to report the case within 24 hours to the UNOPS Internal Audit and Investigation Group (IAIG) who will then inform the World Bank within 48 hours following informed consent by the survivor. The GM focal point will also inform the survivor about referral pathways and available GBV support services.
- If such cases are reported through the PSEA Focal points at the sub-project level, focal points will report immediately and directly to UNOPS PSEA focal point, who will then report to UNOPS IAIG. They will subsequently inform the WB within 48 hours, pending informed consent by the survivor. Additionally, the sub-project level focal point will inform the survivor about referral pathways and available GBV support services.

- **Cases of SH** should be reported through the established GM if the incident concerns a direct worker or a worker from a subcontractor. Response options should similarly follow a survivor-centered approach. The Implementing Partner or contractor may have in place procedures and processes for managing such cases. If deemed appropriate, those existing systems will be used; if there are gaps or such procedures do not exist, support will be provided to establish them.
- (i) **Staff who receive and/or report allegations who are not a designated SEA focal point must:**
- Inform a designated PSEA Focal Point or GM operator as soon as possible, preferably with consent of the survivor. If no consent is obtained, the case must still be reported, however without identifying details.
 - Provide accurate information about where to receive assistance e.g., medical/clinical, legal, psychosocial support (address, phone number).
 - Maintain confidentiality of all reported allegations, including the identity of complainant/s and subject/s.
 - If requested, the staff that received the complaint can act as a liaison between the complainant (including his/her family) and those persons conducting any subsequent investigation, ensuring at all stages that the safety, health and legal needs of the complainant are taken into consideration and that he or she is not subject to intimidation as a result of lodging the complaint.
- (ii) **If the complaint implicates a staff member of a different organization** such as the Implementing Partner or contractors, the UNOPS PSEA focal point shall be informed within 24 hours and a copy of the incident report subsequently forwarded to the same PSEA Focal Point. The UNOPS PSEA focal point will discuss and agree with the Implementing Partner or contractors on the responsibilities for follow up on the safety, security, health and legal needs.
- (iii) **If the complaint is a rumor or the alleged perpetrator (s) affiliation is unknown**, the UNOPS PSEA focal point shall be informed within 24 hours and a copy of the incident report subsequently forwarded. The UNOPS PSEA focal point will inform UNOPS IAIG

who will assist in assessing the veracity of the rumors or allegations. If an investigation is deemed to be warranted and UNOPS or Implementing partner's personnel are suspected to be involved, the matter will be taken forward by UNOPS IAIG.

- (iv) **In case the survivor is a child**, the consent of parents or guardians should be sought where it is in the best interest of the child and if they are not the perpetrators. All service provider interventions to child survivors must be undertaken with staff trained in child-friendly procedures in regards to the handling of cases. A child survivor should continue to go to school while procedures are on-going and all efforts should be done to ensure her/his protection. In addition to this, all the above reporting and referral procedures should be applied.
- The following procedure will be undertaken using an established standardized report:
 - Fill up the Incident Notification Form (Annex 6). This information should be shared with UNOPS IAIG, who will then make a decision about further investigation
 - Provide accurate information about where to receive assistance e.g. medical/clinical, legal, psychosocial support (address, phone number).
 - Establishing the appropriate procedure including the need for medical examination of the victim and the perpetrator where possible (Clinical Management of Rape preferably must take place within 72 hours from the incident).
 - Follow up of SEA/SH Cases and victims to ensure appropriate services are accessed by the survivor

SEA/SH Referral Pathway

- The SEA/SH referral system will support survivors in receiving all necessary services they may choose, including medical, legal, counseling, and that cases are reported to the police with informed consent of the survivor. A standardized Incident Notification Form will be used to register SEA/SH incidents (See Annex 6)
- A survivor has the right to make an informed choice of services. GM, PSEA Focal points and service providers should be able to provide comprehensive information about existing referral

pathways. When the survivor is referred, explanation on services available and which conditions apply should be thorough. For instance, there is a 72 hours' time limit for Post-Exposure Prophylaxis (PEP) in case of a sexual abuse survivor.

- Prioritized response actions for SEA/SH survivors are:
 - Medical examination and treatment of the survivor
 - Early psychosocial counseling to avoid or reduce traumatic feeling for the SEA/SH survivor
 - Police investigation and protection intervention for physical safety, social reintegration where deemed necessary and with consent of the survivor
 - Place of safety/shelter

Task 2.6: Accountability Framework

- **Development of an Accountability Matrix:** The GBV officer will work with WB and UNOPS to develop an Accountability Matrix, which will articulate which parties are responsible for verification/ investigation/ overall management of cases within Implementing Partner/ contractors should they occur.
- The GM Operators in coordination with PSEA focal points will be trained to receive and refer SEA/SH cases in an appropriate manner.
- SEA/SH handling of cases within the Implementing Partner and contractors will be closely coordinated with UNOPS, due to the presumed low capacity of the partner to handle such cases. Responses will include the implementation of sanctions for violations of worker CoCs. SH cases reports will be handled through project worker GM.
- All implementers of ELCP commit to **timely and expeditious action** to provide assistance to survivors, to prevent, respond and to comply with all timelines for action laid out in the Action Plan.
- If requested, Implementing Partner's staff, PSEA Focal points and GM staff that received the complaint can act as a liaison between the complainant (including his/her family) and those persons conducting any subsequent investigation, ensuring at all stages that the safety, health and legal needs of the complainant are taken into

consideration and that he or she is not subject to intimidation as a result of lodging the complaint.

- **Sanctions:** Any acts of SEA/SH, including any sexual activity with anyone under the age of 18, constitute serious misconduct and are grounds for disciplinary measures, including summary dismissal and referral to enforcement authorities for criminal prosecution where appropriate. For implementing partners and contractors, any failure to take preventive measures against sexual exploitation or abuse, to investigate allegations thereof or to take corrective action, constitutes grounds for termination of the Agreement or Contract with UNOPS. Specific sanctions as per type of violation will be developed by the GBV officer.

MONITORING AND SUPERVISION OF THE ACTION PLAN

Task 3: Third Party Monitoring (TPM) and Supervision of SEA/SH Prevention and Response Action Plan

The TPM contracted for ELCP will have in its mandate (included in the TOR) monitoring of the selected contractors' implementation of their SEA/SH Prevention and Response Action Plans.

Quarterly monitoring of Action Plan. The TPM will monitor the implementation of the contractor SEA/SH Plans on a quarterly basis. Quarterly reviews will focus on:

- Ensuring that all activities proposed by the contractors have been undertaken and/or are on track
- Monitoring and reporting on the effectiveness of the implementation of the contractor SEA/SH Plans.
- Reporting on progress on all activities and re-assessment of risks, monitoring of the situation as appropriate.

Non-compliance: Where quarterly reviews identify non-compliance with the contractor SEA/SH Plans, the matter will be reported to the UNOPS Project Manager, GBV officer and WB. UNOPS and the WB will then seek clarification from the Implementing Partner or contractors and jointly develop a corrective action plan. Serious cases can lead to the termination of contract with the contractors.

UNOPS will monitor the SEA/SH sessions for the Implementing Partner and contractors regarding the Code of Conduct obligations and awareness raising activities to the community are in place. SEA/SH sessions will take place during kick-off meetings with each contractor as well as monthly for The Implementing Partner and selected contractors to cover all target areas. The information gathered will be monitored and reported to the World Bank on a quarterly basis. Please refer to Annex 8 for the SEA/SH Action Plan Timeline.

GRIEVANCE MECHANISM (GM)

UNOPS will establish and manage a Grievance Mechanism (GM) to enable beneficiaries to communicate their concerns regarding the Project. More specifically, the GM details the procedures that communities and individuals, who believe they are adversely affected by the Project or a specific subproject, 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. The Project's GM will be used for both environmental and social issues (ESMF) and resettlement issues (RPF).

The UNOPS Program Manager based in the Sana'a Office has the overall responsibility to address Project activity-related complaints 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. The Implementing Partner will designate a GM focal point.

PROCEDURES FOR COMPLAINTS

REGISTERING COMPLAINTS

UNOPS will provide multiple access points to the UNOPS GM focal point for beneficiaries to voice their concerns. These access points will be advertised at subproject level, and will include: complaint box, mail, telephone, phone text message, website, and email.

Address	Haddah Street, former European Union Office Building, Sana'a
Telephone	8000-190 (Toll-free number)
Email	gm-yemen@unops.org

Website www.unops.org

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.

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.

UNOPS will register the complaint in a dedicated log, including a copy of the complaint and supporting documents. A template for registering grievances is found in Annex 5. 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.

TRACKING, INVESTIGATING AND RESOLVING COMPLAINTS

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.

The GM Focal Point will coordinate with implementing partners, 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:

1. 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.
2. if the complaint is accepted, send the plaintiff an officially stamped review card indicating:
 - Plaintiff name or legal representative
 - Plaintiff address
 - Complaint title
 - Review date

- List of annexes submitted with the complaint.
3. work with engineers, implementing partners, and contractors to resolve the complaint within 28 days of its submission

UNOPS will share the full log of complaints to the World Bank as part of its quarterly reporting.

ACTIVATING THE GM MECHANISM

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

GRIEVANCE SERVICE

The World Bank's Grievance Redress Service (GRS) provides an additional, accessible way for individuals and communities to complain directly to the World Bank if they believe that a World Bank-financed project had or is likely to have adverse effects on them or their community. The GRS enhances the World Bank's responsiveness and accountability by ensuring that grievances are promptly reviewed and responded to, and problems and solutions are identified by working together.

The GRS accepts complaints in English or the official language of the country of the person submitting the complaint. Submissions to the GRS may be sent by:

Email: grievances@worldbank.org

Fax: +1-202-614-7313

Letter: The World Bank

Grievance Redress Service (GRS) MSN MC 10-1018

1818 H St NW

Washington, DC 20433, USA

COMMUNICATIONS

UNOPS and the World Bank will develop a project communication plan jointly, in order to reflect the collaborative nature of this project. In addition, UNOPS and the World Bank will establish a joint communications task force, to ensure that the messaging is agreed upon by both sides, and that the messaging is synchronized. The objective of the project communications will be to reflect the nature

of the project as that of supporting the local institutions and providers. The branding will be joint, and will follow the practice employed by previous UNOPS projects, whereby the World Bank Group logo will be followed by “implemented by UNOPS”. IDA branding will be emphasized when the communication products will be aimed at IDA donors. Although branding will be considered for project sites, it will not be placed on the equipment procured for the sub-projects, due to the risk of misuse.

The project will also make use of the different social media platforms (Facebook, Twitter, etc.) and will have a designated website (<https://ye.unopsmr.org/project/yemen-emergency-life-connectivity-project-ELCP/>) as well as a GIS platform to communicate project messaging on a more frequent basis. The press releases, websites, statements, and interviews will be a part of the communication outreach beyond the direct stakeholders of the project, and those will be agreed upon by both sides. Visual communication material, such as before and after pictures, videos, and other presentations will be actively shared and communicated, including possibly at the World Bank annual meetings. The project will undertake proactive efforts to showcase successes to a wide audience internally and externally. The project will undertake specific efforts to elaborate messaging that would mitigate negative communication, such as explaining why certain projects have been prioritized over others.

ANNEX 1: INFORMATION REQUIRED FOR ROADS

Sn	Item to be provided	Yes	No
1.	<p>1. Sub-Projects Description</p> <p>1.1 Nature and Scope of Activities</p> <p>1.1.1 Nature of Sup-Project</p> <p>1.1.2 Scope of work</p> <p> 1.1.2.1 Type of Activities</p> <p> 1.1.2.2 Table shows Sections in each Targeted street (names, Length, width)</p> <p> 1.1.2.3 Description for subproject Surrounding Area adjacent to road work.</p> <p>1.2 Environmental and Social Baseline</p> <p> 2.3.1. Climate and weather</p> <p> 2.3.2. Air Quality and Noise</p> <p> 2.3.3. Current Situation (for each road with photos)</p> <p> 2.3.4. Targeted sub-project beneficiaries</p> <p>1.3 Design Requirements and Guideline:</p> <p>Sub-Project Execution</p> <p>Earth Work</p> <p>Asphalt Work</p> <p>Commissioning</p> <p>Final Completion</p> <p>Training Program</p> <p>Warranty and After Sale services</p> <p>Danger Labels and Signage</p> <p>1.4 Location</p> <p>Map shows the Location of Targeted Roads in the city(General)</p> <p>Map shows the Location of Targeted Road(specific)</p>		

	<p>Road Names</p> <p>Location Coordinates</p> <p>City/ District</p> <p>3. Consultation (the following shall be included)</p> <p>3.1 Men Consultation Questionnaires</p> <p>3.2 Women Consultation Questionnaires</p> <p>3.3 Focused Group Discussion with Women Consultation</p> <p>3.4 Focused Group Discussion with Men Consultation)</p> <p>3.5 Focused Group Discussion Record/signatures (with Men/Women)</p> <p>3.6 Public Consultation Findings and feedback</p> <p>3.7 Public Consultation Photos photographs (include)</p> <ul style="list-style-type: none"> ● Women Consultation photographs (subtitled with date and location) ● Men Consultation photographs (subtitled with date and location) ● Men Focused Group Discussion (subtitled with date and location) ● Women Focused Group Discussion (subtitled with date and location) <p>4. Environmental and Social Screening</p> <p>4.1 Applicability</p> <p>4.2 Eligibility (Negative List)</p> <p>4.3 Environmental and Social Screening Form</p> <p>4.4 The Risk Level and Mitigation Instruments</p> <p>5. Environmental and Social Clauses for Contractor</p> <p>Annex 1: GM Complaint and Suggestion Form</p> <p>Annex 2 Environment, Health and Safety (EHS) Clauses for Contractor</p> <p>Annex 3 Public Consultation Questionnaires</p>		
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ANNEX 2: UNOPS GM PROCESS

Summary of Complaints Management Review Process			
#	Action	Responsibility	Time frame
1	Complaint/requests/inquires submitted	Complainant	Any time
2	Complaint logged into the/UNOPS registration system with index number	GM assigned staff	1 day
3	Confirm a receipt of complaint and notify complainant whether complaint is eligible or not.	GM Assigned staff	Within 2-3 days
4	Gather evidence on the complaint and conduct interviews as necessary, analyse information and develop resolution on grievance.	GM appointed staff/team including ESSO (at central level and with local focal points and implementing partners	Within 10 days
5	Send notification letter to the complainant in case the investigation of the case is going to take longer than two weeks.	GM assigned staff and ESSO	Within 14 days from the process start
6	Review and approve resolutions	Project Manager	Within 18 days
7	Produce grievance summary report	GM assigned staff	Within 21 days
8	Inform the complainant on the resolutions (correction actions)	GM assigned staff and ESSO	Within 21 days
9	Implement resolutions and report on the progress (monitoring)	Implementing Partners with contractors	Agreement for implementation
10	Close the complaint file and fill it in the system for documentation.	GM assigned staff, ESSO and Project Manager	
11	Provide record of complaints or requests or inquires per month to the WB showing number resolved and pending for review and comments	GM assigned staff, ESSO and Project Manager	Quarterly basis

ANNEX 3: GM CASES MONITORING AND TRACKING LOG

Case Number	Receive Date	Project name	Place in relation	Case brief	Case Type	Case Status	Reason for inadmissibility	Expected Outcome date	Completed Date	Action taken

ANNEX 4: Environmental and Social Framework QUESTIONNAIRE

The goal of the review is to make broad recommendations on how to improve safeguards (from preparation of documents through implementation and follow-through). This quick questionnaire is being sent out to all UNOPS Implementing Partner to provide answers and any information that may help to improve safeguards implementation,

PREPARATION

1. What is the Name of Sub-Project (s)?
2. Subproject duration been in implementation?
3. When is it set to close?
4. What type of project is it? (roads upgrade/ maintenance)
5. What are the key safeguards issues in your project?
6. What work activities have been undertaken by the project to date? Have these changed since effectiveness?
7. What works activities are planned or have been undertaken by the project?
8. When did the civil works start and at what stage of construction/building/implementation is the works?
9. Has the project prepared project an Environmental Impact Assessments for the civil works projects?
10. Has the project prepared any Environmental Management Plans for specific civil works in the project? How many and for what aspects?
11. Has the project prepared Resettlement Action Plans for civil works projects?
12. Were the EMPs or RAPs reviewed by safeguards specialists prior to approving and implementing civil works?

SUPERVISION:

13. Have you had an environmental safeguards specialist/consultant as an active member of project supervision? Who?
14. Have you had a social safeguards specialist/consultant as an active member of project supervision? Who?
15. A. How often has an environmental specialist participated in supervision missions to examine environmental safeguards compliance?
- 15 B. When was the last time an Environment or Social specialist visited the project during implementation?
16. At what stage has an environmental specialist, focusing on safeguards issues, been included in missions? i.e., never, at the MTR, at launch, during the construction/civil works implementation phase, etc?
17. Explain why you requested their participation at this stage?
18. At what stage is a social specialist, focusing on safeguard issues, included in missions? i.e. never, every mission, at the Mid-Term Review (MTR), at launch, in the first two years, in the last year, etc?

19. Explain why you requested their participation at this stage?
20. What have been the key social and environmental safeguard implementation problems in your project?
21. Who identified these safeguard issues and at what stage of civil works implementation were these issues identified?
22. Have these yet been resolved/addressed and if so, how? If not, what is the stumbling factor?

MONITORING:

23. Is there a monitoring plan for the project?
24. Does the monitoring plan include environmental and social safeguards indicators? Are these taken from the Environmental Management Plan (EMP) or Environmental Impact Assessment (EIA) or in the case of social from the Resettlement Action Plan (RAP)?
25. Is there a defined budget for the environmental and social safeguards aspects of the monitoring plan? Where is this budget line item found- e.g. PAD, implementation manual, cost tab, etc?
26. What environmental and social safeguards indicators are being monitored? Is this monitoring occurring now or planned?
27. Have there been any significant delays in targets for safeguard's monitoring? And if so what was the cause? Has this affected the rate of overall implementation?
28. How often are these indicators monitored (actual or planned)?
29. Who has been doing the environmental safeguards monitoring for the project (in the Projects/Sub-Projects)?
30. Who has been doing the social safeguards monitoring for the project (in the Projects)?
31. Does the institution/firm/government agency etc have the capacity/experience/technical competency to effectively monitor these indicators and make recommendations for improvement?
32. If no, what are the issues and what has been done, if anything, to improve this capacity?
33. How seriously has the institution/firm/gov agency etc taken its monitoring responsibility and how is this shown?
33. What are the reporting requirements for monitoring of environmental and social safeguards and where do these records exist?
34. Which reports, specifically related to environment and/or social safeguards monitoring, if any, are submitted to the TTL and how often?
35. What follow-up action have you had to take, based on submitted reports?
36. Have you used supervision missions to follow up on environment and social safeguards monitoring? If so, how?
37. Did you include the relevant safeguard specialist on the supervision team if any problem was identified- why not or why did you?
38. On the basis of submitted reports or your project knowledge, how would you rate the quality of environment and social safeguards monitoring work that is being done in the project?
 - a) for Environment safeguards
 - b) for Social safeguards

39. Explain your rating. – what are the positive and negative aspects of the monitoring work that is being done?

- a) Environment
- b) Social

40. In general, how would you rate your project in terms of safeguards monitoring and follow-up during implementation?

E.G Environment Safeguards

Exceptional

Good

Fair

Poor

Please explain your rating

41. Social Safeguards

Exceptional

Good

Fair

Poor

Please explain your rating

42. In your project, have there been any complaints (by NGOs, communities or community groups, private firms, government or other) regarding social or environmental issues in the project? Where these documented and if so, where? Discuss what the issue was and how did you respond to the complaints?

43. Are environmental and/or social safeguard specialists of use beyond preparation? Why or why not?

44. Where do you think safeguard specialists can best add value to the quality of your projects? What would be needed to ensure this happens?

45. Any insight on safeguards monitoring/implementation you may want to add.

Thanks a lot! It was a long questionnaire and so we appreciate the effort you've taken to fill this in, can we contact you by phone if we have follow-up questions? _____

ELCP UNOPS/IP/Contractor Grievance Mechanism (GM) .

44. Do You know about Grievance Mechanism? If yes, how?

45. Do you raise your complaints about the project to the Authorities? contractor GM Box
 UNOPS IP Others

46. What was your grievance about? Was it addressed and solved? If Yes, How? If No, Why not?

47. Was the Grievance Mechanism (GM) transparent, understandable, and accessible to all segments of affected people?
48. Was the (GM) discussed prior to the project implementation?
49. Were there any challenges or difficulties faced you while rising your complaint? If the answer Yes, what is it?
50. Were they handled or addressed?
51. To what extent are you satisfied with the existence of Grievance Mechanism?

Strongly unsatisfied	Unsatisfied	Neutral	Satisfied	Strongly satisfied
1	2	3	4	5

52. To what extent are you satisfied with the reaction to solve or address your complaint?

Strongly unsatisfied	unsatisfied	Neutral	Satisfied	Strongly satisfied
1	2	3	4	5

53. To what extant are you satisfied with the period taken to solve or address your complaint.

Strongly unsatisfied	unsatisfied	Neutral	Satisfied	Strongly satisfied
1	2	3	4	5

Community Health and Safety.

54. Has the public been informed about the schedule of maintenance activities?
55. Has the traffic been controlled and managed, by using traffic cones, barriers, fences, or lights as appropriate?
56. Has the speed in inhabited areas been limited?
57. Have the local councils and the public been informed and coordinated on the maintenance schedule
58. has works period been shortening?
59. Provide alternative access to residences and roadside businesses
60. Has work been avoided during night hours?
61. Have removable barriers been erected in high risk areas?
62. Have warning signs been installed?
63. Have proper shielding scaffolds been protected?.

Occupational Health and Safety

64. Have occupational health and safety training been provided to all employees involved in works?
65. Have protective masks, helmet, overall and safety shoes, safety goggles, been provided as appropriate?
66. Have workers in high noise areas been provided with earplugs or earmuffs?
67. Does the first aid box exist in subproject's site?

68. Have workers been trained regarding the handling of hazardous materials?
69. Have hazardous materials been stored as per the national and international laws and guidelines included the World Bank Environmental, Health, and Safety (EHS) Guidelines?
70. Have employees been provided with access to toilets and potable drinking water?
71. Verify that workers are older than 18 when hiring.

General Environmental Impacts

72. Has water been sprayed for dust control?
73. Have operational noise mufflers been used?
74. Have noisy activities been limited to daylight hours?
75. Has construction machinery been properly maintaining to minimize exhaust emissions of CO, suspended particulates and fumes?
76. Has liquid waste been Removed and recycled?
77. Has hazardous waste been treated separately from other waste?
78. Have nearby houses been informed?
79. Where feasible, provide an open area ~1 m wide, behind ditches, to accommodate fallen debris which must be cleaned? Channels, to accommodate fallen debris which must be cleaned
80. Where feasible, increase the mass thickness of the rock fill to provide additional stability?
81. Have adequate drainage systems been provided?
82. Have the local councils and other implementing partners been coordinated?
83. Has asphalt pavement been postponed until the water distribution and sanitation networks are completed?
84. Have underground pipes during construction been protected?
85. Has damaged infrastructure been repaired on the completion of the works?
86. Has vegetative cover been restored, where feasible?
87. Wherever feasible, plant endemic trees with minimal water demand at ~4 meters from the edge of the road shoulders and as much as possible within the road right of way (ROW)?
88. Has impact on animal and amphibian road been minimizing crossings by reducing speed limits in critical areas and planting trees or other vegetation?
89. Have contracts been ensured to include provisions for chance findings?
90. Have crew/supervisors been trained to spot potential archeological finds?
91. Has contractor ensured to safeguard all buildings, structures, works, services or installations from harm, disturbance or deterioration during the concession period?
92. Has contractor taken all necessary measures required for the support and protection of all buildings, structures, pipes, cables, sewers and other apparatus during the concession period
93. Has contractor repaired any damage/s occurred in coordination with Municipality and concerned authorities?
94. Has solid waste at designated permitted sites been properly disposed?
95. Are the contractors responsible on providing insurance for construction labors, staff and citizens attending the construction site, for each subproject?

Potential Impacts and matching mitigation measures for roads subprojects

96. Have side slope been executed to prevent the accumulation of water on the road surface?
97. Have soils been revegetated?
98. Have ditches and culverts been cleaned and maintained periodically?
99. Have appropriate measures for compensation for the affected businesses been provided?

Contractor's Environmental and Social Obligations

100. Does the contractor have CESMP? If not, why?
101. How many hours do labors work daily?
102. Was there any incident recorded? If Yes, please specify:
103. Major works: those undertaken and completed, progress against project schedule
104. noncompliance incidents with permits and national law
105. Training on E&S issues: including dates, number of trainees, and topics
106. Footprint management: details of any work outside boundaries or major off-site impacts caused by ongoing construction—to include date, location, impacts, and actions taken.
107. Details of any security risks: details of risks the contractor may be exposed to while performing its work
108. Worker grievances: details including occurrence date, grievance, and date submitted; actions taken and dates;
109. Major changes to contractor's environmental and social practices.

Contractor's Environmental and Social Liabilities

110. Check subproject logbook (or through observation) if there is any noncompliance as listed in Bill of Quantities (BOQ).
111. Check subproject logbook and ID =s of workers to confirm age of labor and ensure ther is no child labor

ANNEX 5: SEA/SH REPORTING FORMAT

The following is a sample-reporting framework that needs to be updated pending review and considerations by the GBV officer and appropriate technical experts within UNOPS and the World Bank.

SEA/SH Reporting Format

INCIDENT DETAILS		Guiding Notes
1	Type of Violation	SEA/SH (by UNOPS, IP or contractor staff)
		SEA/SH (by third party)
2	Nature of the incident reported (what happened and by whom)	Basic facts of the incident: What, Who. Is the incident related to the project? No in-depth details should be asked for.
3	Source information of	Project Focal Point, GM Operator, email, other (specify)
4	Where did the incident occur	Governorate
		City
5	When did the incident occur	Date
6	Additional information (if available)	Sex, Age
<p>The identity and safety of a survivor must be protected at all times. No personal data or identifying information about a survivor or their experience can be shared through this document. Personal/identifying information includes the survivor's name, perpetrator(s)' name, date of birth, home address, the exact time and place the incident took place, visible disability, residence status e.g. minority clan or IDP, which can be identified in small village/community settings.</p>		

ANNEX 6: SAMPLE GRIEVANCE AND RESOLUTION FORM

Name (Filer of Complaint): _____
ID Number: _____ (PAPs ID Number)
Contact Information: _____ District/Community Mobile Phone)

Nature of Grievance or Complaint:

Date	Individuals Contacted	Summary of Discussion
------	-----------------------	-----------------------

Signature _____ Date: _____

Signed (Filer of Complaint): _____

Name of Person Filing Complaint: _____

(if different from Filer) Position or Relationship to Filer: _____

Review/Resolution

Date of Conciliation Session: _____

Was Filer Present? _____ Yes

_____ No Was field verification

of complaint conducted? Yes _____ No

Findings of field investigation:

Summary of Conciliation Session Discussion:

Issues:

Was agreement reached on the issues?

Yes

No If agreement was reached, detail the agreement below:

If agreement was not reached, specify the points of disagreement below:

Signed (Conciliator): _____

Signed (Filer):

Signed: _____

Independent
Observer

Date: _____

ANNEX 7: PROJECT WORK PLAN

23356- YELCP - Work Plan Updated on 19 April 2022				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	2025	2025	2025	2025
Activity	Start Date	End Date	Cont. Type																
Project Startup and Initiations																			
Recruitment of Project Team	15-Feb-22	30-Jun-22	UNOPS Internal																
Conduct a market research and develop a procurement strategy	15-Feb-22	30-Jun-22	UNOPS Internal/WB																
Draft Procurement Plan	1-Jan-22	31-Jan-22	UNOPS Internal																
Revised Procurement Plan	1-Apr-22	20-Apr-22	UNOPS Internal																
Project Implementation Plan	15-Feb-22	15-Apr-22	UNOPS Internal																
Project Operational Manual (POM)	1-Feb-22	30-Apr-22	UNOPS Internal																
Preparation of Draft PCA between UNOPS and RAP	1-Feb-22	30-Apr-22	UNOPS Internal																
Signing the PCA between UNOPS and RAP	1-May-22	7-May-22	UNOPS Internal																
Preparation of Draft PCA with SMEPS and UNOPS	15-Jan-22	15-May-22	UNOPS Internal																
Procurement process for hiring SMEPS	16-May-22	15-Jun-22	UNOPS Internal																
Signing the agreement between UNOPS and SMEPS	16-Jun-22	22-Jun-22	UNOPS Internal																
Component 1.A.1 - Rehabilitation of Lifeline Rural Access Roads																			
Preparation of Technical Design																			
Technical Design of Rural Road																			
Package 1	15-Jan-22	31-Mar-22	PCA																
Package 2	15-Apr-22	31-Jul-22	PCA																
Package 3	1-Aug-22	30-Sep-22	PCA																
UNOPS Design Review																			
Package 1	1-Apr-22	31-May-22	UNOPS Internal																
Package 2	1-Aug-22	15-Sep-22	UNOPS Internal																
Package 3	1-Oct-22	31-Oct-22	UNOPS Internal																
Preparation of ESMPs	1-Feb-22	31-Oct-22	PCA																
Procurement and Contract Award																			
Package 1	1-Jun-22	31-Jul-22	UNOPS Internal																
Package 2	16-Sep-22	31-Oct-22	UNOPS Internal																
Package 3	1-Nov-22	31-Dec-22	UNOPS Internal																
Implementation at the field																			
Rehabilitation and Upgrading of Rural Road																			
Package 1	16-Jul-22	31-Aug-23	Works & Goods																
Package 2	1-Nov-22	31-Oct-23	Works & Goods																
Package 3	1-Jan-23	31-Mar-24	Works & Goods																
Safe-guard Monitoring	16-Jul-22	31-Mar-24	UNOPS Internal																
Hand Over procedure	1-Apr-24	30-Jun-24	UNOPS Internal																
Defect Notification Period (DNP) and Final																			
DNP effectiveness	1-Apr-24	31-Mar-25	UNOPS Internal																
Completion Certificate	1-Apr-25	30-Jun-25	UNOPS Internal																
Component 1.A.2 - Safety Bridges or																			
Preparation of Technical Design																			
Design review	1-Aug-22	30-Sep-22	PCA																
Preparation of ESMP	1-Oct-22	15-Nov-22	UNOPS Internal																
Procurement process and contract award	16-Nov-22	31-Jan-23	UNOPS Internal																
Implementation at the field	1-Feb-23	31-Jul-23	Works & Goods																
Supervision of work and safe guard monitoring	1-Feb-23	31-Jul-23	PCA																
Hand Over procedure for substantial completion	1-Aug-23	30-Sep-23	UNOPS Internal																
Defect Notification Period (DNP) and Final																			
DNP effectiveness	1-Aug-23	31-Jul-24	UNOPS Internal																
Completion Certificate	1-Aug-24	30-Sep-24	UNOPS Internal																
Component 1.B - Employment-Intensive Road																			
Preparation of Technical Design Reports for																			
Selection of Road for Maintenance	15-Mar-22	30-Apr-22	PCA																
Selection and establishment of Micro-entrepreneur groups	1-Jul-22	31-Aug-22	PCA/agreement																
Road maintenance training to Micro-entrepreneur groups	1-Sep-22	31-Oct-22	PCA/agreement																
Technical Design and assessment for maintenance	1-May-22	15-Aug-22	PCA																
UNOPS Design Review	16-Aug-22	31-Oct-22	UNOPS Internal																
Preparation of ESMPs	1-Nov-22	31-Dec-22	PCA																
Implementation																			
Rural and Village Road Maintenance	1-Jan-23	30-Jun-24	Works & Goods																
Safe-guard Monitoring	1-Jan-23	30-Jun-24	UNOPS Internal																
Hand Over procedure	1-Jun-24	31-Aug-24	UNOPS Internal																
Defect Notification Period (DNP) and Final																			
DNP effectiveness	1-Jul-24	30-Jun-25	UNOPS Internal																
Completion Certificate	1-Jul-25	30-Sep-25	UNOPS Internal																
Component 2 - Strengthening Management Capacity of Transport Sector Public																			
Strengthening project management capacities of the RMF-IU and RAP																			
Development of ToR	1-Apr-22	31-Jul-22	Consulting																
Capacity Building Program	1-Oct-22	31-Dec-23	Consulting																
onor 210-nears TRAINING (H23L, C27, 08nars, n0nars)	1-Feb-22	30-Jun-24	UNOPS Internal																
Support for the RAP to revise its Management Information System (MIS)																			
Development of ToR	1-Apr-22	31-Jul-22	Consulting																
Development of MIS	1-Sep-22	31-Dec-22	Consulting																
MIS Training			Consulting																
Support RMF to reactivate its Road Asset Management System (RAMS)																			
Development of ToR	1-Apr-22	30-Jun-22	Consulting																
RAMS upgrade and support	1-Jul-22	31-Mar-23	Consulting																
RAMS Training	1-Apr-23	30-Jun-23	Consulting																
Component 3A - Project Implementation and Monitoring Support																			
Supervision of work, reviewer and Quality Control	16-Jul-22	30-Jun-24	UNOPS Internal																
Monitoring of Project Safe-guard compliance	16-Jul-22	30-Jun-24	UNOPS Internal																
Project Physical and Financial Progress Reporting	7-Feb-22	30-Nov-25	UNOPS Internal																
Component 3B - Third Party Monitoring																			
Development of ToR for a TPM Agent	15-Feb-22	31-Mar-22	UNOPS Internal																
Conducting procurement process and Award contract for TPMA	15-Apr-22	31-May-22	UNOPS Internal																
Third Party Monitoring	1-Jun-22	30-Jun-24	Consulting																
Beneficiary Satisfaction Survey	1-Apr-24	30-Jun-24	Consulting																
Project Closure																			
Finalize the Project Closure Process	1-Jul-25	31-Dec-25	UNOPS Internal																

ANNEX 8: SEA/SH ACTION PLAN TIMELINE

ELCP - SEA/SH Prevention and Response Action Plan timeline																							
Year	YEAR 1												YEAR2										
Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	22	23	24
Activity																							
Development and printing of IEC material for local stakeholders on SEA/SH	█	█																					
Training of the two IPs on SEA/SH and supporting them in developing SEA misconduct response mechanisms		█	█				█	█															
In-depth sessions (4 full day training sessions) for 10-12 high-value contractors on preparing & implementing SEA/SH Prevention and Response Action Plans		█	█	█																			
SEA/SH sessions take place during kick-off meetings with each new contractor during the project implementation phase		█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
Introduction of SEA/SH Prevention and Response Action Plan requirement for high-value contracts (above 500.000 USD)		█	█	█	█	█																	
Gradual introduction of SEA/SH Prevention and Response Action Plan requirement for other contracts (below 500.000 USD)						█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	
SEA awareness for local community actors (as part of stakeholder engagement activities)	█	█				█					█	█						█	█				█
Training (and refresher) of GRM staff on SEA/SH and safe referrals	█					█					█							█					
Development of referral protocols and procedures (e.g. informed consent protocols) to enable access to services for survivors	█	█																					

ANNEX 9: TEMPLATE FOR SUBPROJECT SCREENING

Screening Form for Potential Environmental and Social Issues

UNOPS will use this form to screen for the potential environmental and social risks and impacts of a proposed subproject. The form will allow UNOPS to: (i) identify the relevant Environmental and Social Standards (ESS); (ii) establishment an appropriate Environmental and Social risk for the subproject, and; (iii) specify the type of environmental and social assessment required, including specific instruments/plans.

The Screening Form is not a substitute for subproject-specific environmental and social assessments or specific mitigation plans.

Subproject name	
Subproject location	
Implementing Partner	
Estimated Investment	
Was the site visited beforehand	
Estimated Start/Completion Date	
Observations/Comments	
Signature of UNOPS ESSO	
Signature of Program Manager	

Question	Answer		ESS relevance	Due diligence/ Actions
	Yes	no		
Does the subproject involve civil works including new construction, expansion, upgrading or rehabilitation of existing infrastructure?			ESS1	ESIA/ESMP, SEP
Does the subproject involve land acquisition and/or restrictions on land use?			ESS5	Resettlement Plan, SEP
Is the subproject associated with any external waste management facilities such as a sanitary landfill, incinerator, or wastewater treatment plant?			ESS3	ESIA/ESMP, SEP
Does the subproject have an adequate system in place (capacity, processes and management) to address waste?			ESS1, ESS3	ESMP

Does the subproject involve the recruitment of workers including direct, contracted, primary supply, and/or community workers?			ESS2	LMP, SEP
Does the subproject have appropriate OHS procedures in place, and an adequate supply of PPE (where necessary)?			ESS2	LMP
Does the subproject have a GM in place, to which all workers have access, designed to respond quickly and effectively?			ESS10	SEP
Does the subproject involve use of security or military personnel during construction and/or operation of healthcare facilities and related activities?			ESS4	ESIA/ESMP, SEP
Is the subproject located within or in the vicinity of any ecologically sensitive areas?			ESS6	ESIA/ESMP, SEP
Is the subproject located within or in the vicinity of any known cultural heritage sites?			ESS8	ESIA/ESMP, SEP
Does the project area present potential Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA) risk?			ESS1	ESIA/ESMP, SEP

Conclusions of the screening:

1. **Indicate the proposed environmental and social risk ratings⁹ (High, Substantial, Moderate or Low), and provide justifications.**
2. **Indicate the proposed environmental and social risk management instruments that must be prepared.**

⁹ **High Risk** subprojects are likely to generate a wide range of significant adverse risks and impacts on human populations or the environment, because of the complex nature of the Project, their large to very large scale, or the sensitivity of the subproject locations. Impacts are likely to be long term, permanent, irreversible, and impossible to avoid entirely due to the nature of the Project

Medium Risk subprojects are likely to generate some significant adverse risks and impacts on human populations or the environment, because of their large to medium scale. They are not located in a highly sensitive area. Impacts are likely to be mostly temporary, predictable and reversible.

Moderate Risk subprojects have adverse risks and impacts on human populations and/or the environment that are not likely to be significant, because the subproject is not complex or large, do not involve activities that have a high potential for harming people or the environment, and are located away from environmentally or socially sensitive areas.

Low Risk subprojects have potential adverse risks to and impacts on human populations or the environment that are likely to be minimal or negligible. These subprojects do not require further ES assessment following the initial screening.

ANNEX 10: INDICATIVE OUTLINE OF AN ESMP

An ESMP consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation of a subproject to eliminate adverse environmental and social risks and impacts, offset them, or reduce them to acceptable levels. The ESMP also includes the measures and actions needed to implement these measures. UNOPS will (a) identify the set of responses to potentially adverse impacts; (b) determine requirements for ensuring that those responses are made effectively and in a timely manner; and (c) describe the means for meeting those requirements.

The content of the ESMP will include the following:

Mitigation

- The ESMP identifies measures and actions in accordance with the mitigation hierarchy that reduce potentially adverse environmental and social impacts to acceptable levels.
- The plan will include compensatory measures, if applicable. Specifically, the ESMP:
 - identifies and summarizes all anticipated adverse environmental and social impacts (including those involving indigenous people or involuntary resettlement);
 - 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;
 - estimates any potential environmental and social impacts of these measures;
 - takes into account, and is consistent with, other mitigation plans required for the project (e.g., for involuntary resettlement, indigenous peoples, or cultural heritage).

Monitoring

- The ESMP 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 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.

Capacity Development and Training

- To support timely and effective implementation of environmental and social 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 specific 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).
- To strengthen environmental and social management capability in the agencies responsible for implementation, the 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.

Implementation Schedule and Cost Estimates

- For all three aspects (mitigation, monitoring, and capacity development), the 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.

Integration of ESMP with Project

- The Borrower's decision to proceed with a project, and the Bank's decision to support it, are predicated in part on the expectation that the ESMP (either stand alone or as incorporated into the ESCP) will be executed effectively. Consequently, each of the measures and actions to be implemented will be clearly specified, including the individual mitigation and monitoring measures and actions and the institutional responsibilities relating to each, and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

ANNEX 11: INDICATIVE OUTLINE OF SUBPROJECT ESIA

Where an environmental and social impact assessment (ESIA) must be prepared as part of the environmental and social assessment of a subproject, it will include the following:

Executive Summary

- Concisely discusses significant findings and recommended actions.

Legal and Institutional Framework

- Analyzes the legal and institutional framework for the project, within which the environmental and social assessment is carried out, taking into account in an appropriate manner all issues relevant to the project, including: (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to environment and social issues; variations in country conditions and project context; country environmental or social studies; national environmental or social action plans; and obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under the ESSs; and (c) the EHSGs, and other relevant GIIP.
- Compares the Borrower's existing environmental and social framework and the ESSs and identifies the gaps between them.
- Identifies and assesses the environmental and social requirements of any co-financiers.

Subproject Description

- Concisely describes the proposed subproject and its geographic, environmental, social, and temporal context, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary suppliers.
- Through consideration of the details of the project, indicates the need for any plan to meet the requirements of ESS1 through 10.
- Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts.

Baseline Data

- Sets out in detail the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures. This should include a discussion of the accuracy, reliability, and sources of the data as well as information about dates surrounding project identification, planning and implementation.
- Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions.

- Based on current information, assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences.
- Takes into account current and proposed development activities within the project area but not directly connected to the project.

Environmental and Social Risks and Impacts

- Takes into account all relevant environmental and social risks and impacts of the project. This will include the environmental and social risks and impacts specifically identified in ESS2–8, and any other environmental and social risks and impacts arising as a consequence of the specific nature and context of the project, including the risks and impacts identified in ESS1, paragraph 28.

Mitigation Measures

- Identifies mitigation measures and significant residual negative impacts that cannot be mitigated and, to the extent possible, assesses the acceptability of those residual negative impacts.
- Identifies differentiated measures so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable.
- Assesses the feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of proposed mitigation measures, and their suitability under local conditions; and the institutional, training, and monitoring requirements for the proposed mitigation measures.
- Specifies issues that do not require further attention, providing the basis for this determination.

Analysis of Alternatives

- Systematically compares feasible alternatives to the proposed project site, technology, design, and operation—including the “without project” situation—in terms of their potential environmental and social impacts.
- Assesses the alternatives’ feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; and the institutional, training, and monitoring requirements for the alternative mitigation measures.
- For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible.

Design Measures

- Sets out the basis for selecting the particular project design proposed and specifies the applicable EHSs or if the EHSs are determined to be inapplicable, justifies recommended emission levels and approaches to pollution prevention and abatement that are consistent with GIIP.

Key Measures and Actions for the Environmental and Social Commitment Plan (ESCP)

- Summarizes key measures and actions and the timeframe required for the project to meet the requirements of the ESSs. This will be used in developing the Environmental and Social Commitment Plan (ESCP).

Appendices

- List of the individuals or organizations that prepared or contributed to the environmental and social assessment.
- References—setting out the written materials both published and unpublished, that have been used.
- Record of meetings, consultations and surveys with stakeholders, including those with affected people and other interested parties. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected people and other interested parties.
- Tables presenting the relevant data referred to or summarized in the main text.
- List of associated reports or plans.