



**UNITED NATIONS OFFICE FOR PROJECT SERVICES**

**REPUBLIC OF YEMEN**

**INTEGRATED URBAN SERVICES EMERGENCY PROJECT PHASE II**

# **PROJECT OPERATIONAL MANUAL**

**Approved Version after AF**

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## INTRODUCTION

The objective of the 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 Integrated Urban Services Emergency Project Phase II (YIUSEP II) effectively. The United Nations Office for Project Services (UNOPS) is responsible for overall project implementation, in cooperation with the local Implementing Partners. The POM will guide UNOPS and its Implementing Partners to ensure that the project activities, subprojects, and components are implemented in accordance with the 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 Partners 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 six sections, 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).



## ABBREVIATIONS AND ACRONYMS

APA	Alternative Procurement Arrangements
CEN	Country Engagement Note
CERC	Contingent Emergency Response Component
CSO	Civil Society Organization
DLA	District Local Authority
DNA	Dynamic Needs Assessment
ECRP	Emergency Crisis Response Project
EHNP	Emergency Health and Nutrition Project
EHS	Environmental, Health, and Safety
ERR	Economic Rate of Return
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESCP	Environmental and Social Commitment Plan
EU	European Union
FCV	Fragility, Conflict, and Violence
FMFA	Financial Management Framework Agreement
GBV	Gender Based Violence
GDP	Gross Domestic Product
GIS	Global Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GoY	Government of Yemen
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
HLP	Housing and Land Property
IDA	International Development Association
IDP	Internally Displaced Person
IUFR	Interim Unaudited Financial Report
LMP	Labor Management Procedures
LFPR	Labor Force Participation Rate
LC	Local Corporation
MNA	Middle East and North Africa
MWE	Ministry of Water and Environment
NGO	Non-Governmental Organization
OC	World Bank Oversight Committee
O&M	Operations and Maintenance
OP	Operational Policy
PCA	Partnership Cooperation Agreement
PDO	Project Development Objective
PMU	Project Management Unit
POM	Project Operations Manual



PV	Photovoltaic
PWP	Public Works Project
RMF-IU	Road Maintenance Fund Implementation Unit
RoY	Republic of Yemen
RF	Resettlement Framework
SDR	Special Drawing Rights
SEA	Sexual Exploitation and Abuse
SFD	Social Fund for Development
SH	Sexual Harassment
SEP	Stakeholder Engagement Plan
TC	Technical Committee
TOR	Terms of Reference
TPM	Third Party Monitoring
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNOPS	United Nations Office for Project Services
UW-PMU	Urban Water Project Management Unit
WASH	Water, Sanitation and Hygiene
WBG	World Bank Group
WHO	World Health Organization
WOB	Women Owned Business
WWTP	Wastewater Treatment Plant
YIUSEP II	Yemen Integrated Urban Services Emergency Project Phase II





## SECTION I: PROJECT DEFINITION

### PROJECT BACKGROUND

In May 2015, the United Nations (UN) placed Yemen at level 3 of humanitarian distress, the highest categorization of countries in conflict. Since then, Yemen has been described as the worst humanitarian crisis in the world,<sup>1</sup> with 24 million Yemenis requiring humanitarian assistance, 3.6 million internally displaced<sup>23</sup>, and the worst cholera epidemic in modern history. More than 20 million people are food insecure, of which 10 million are suffering from acute hunger<sup>4</sup>. As per the UNDP estimates (2019), there have been 102,000 combat deaths and 131,000 indirect deaths due to lack of food, health services and infrastructure, and many more injuries<sup>5</sup>. The economy has been badly affected by the prolonged conflict, depriving millions of their livelihoods and jobs and driving poverty levels to over 80 percent. In 2018, Gross Domestic Product (GDP) was estimated at US\$23 billion, and although official statistics are no longer available, evidence suggests that GDP has contracted by about 40 percent cumulatively since 2015.<sup>6</sup> The COVID-19 pandemic is also devastating for the struggling economy and is compounding the impacts of recent urban flooding and a declining global oil price, which is the only significant export of the country.

Yemen's cities have been very badly impacted by the conflict, with widespread destruction of urban infrastructure. In January 2020, damage in the 16 cities covered by the World Bank's Yemen Dynamic Needs Assessment (DNA) was estimated between US\$6.9 and US\$8.5 billion.<sup>7</sup> The housing sector has experienced the most damage, with costs ranging between US\$5.1 and US\$6.2 billion, followed by the

<sup>1</sup> UN Secretary-General António Guterres in remarks to donor conference in Geneva on April 3, 2018

<sup>2</sup> <https://www.unrefugees.org/emergencies/yemen/>.

<sup>3</sup> Evidence also suggests women are disproportionately IDP. Women represented more than 80.0% of IDPS who left Sana'a and Al Hodeidah, and 55.0% of the people that arrived in Aden. See <https://reliefweb.int/sites/reliefweb.int/files/resources/yemen-damage-and-needs-assessment.pdf>

<sup>4</sup> <https://www.wfp.org/countries/yemen#:~:text=Despite%20ongoing%20humanitarian%20assistance%2C%20over,has%20prevented%20catastrophe%20in%20Yemen.>

<sup>5</sup> Moyer et al, 2019, Assessing the Impact of Conflict on Human Development in Yemen, <https://www.undp.org/content/dam/yemen/General/Docs/ImpactOfWarOnDevelopmentInYemen.pdf> (accessed 11/23/20)

<sup>6</sup> World Bank Yemen Republic Overview, April 2018

<sup>7</sup> Yemen Dynamic Needs Assessment: Phase 3 (2020 Update) (English). Washington, D.C. : World Bank Group. [http://documents.worldbank.org/curated/en/490981607970828629/Yemen-Dynamic-Needs-Assessment-Phase-3-2020-Update.](http://documents.worldbank.org/curated/en/490981607970828629/Yemen-Dynamic-Needs-Assessment-Phase-3-2020-Update)



health (US\$605–740 million) and power (US\$541–662 million) sectors. Estimated damage to WASH, transport, and education infrastructure is also immense, estimated to be in the hundreds of millions. Amongst the 16 DNA cities, Sana’a has suffered the greatest damage, followed by Taiz, with damages estimated at US\$2.4–3.0 billion and US\$1.4–1.7 billion respectively. Aden and Al Hodeidah have also been severely affected by the conflict.

This project YIUSEP II came as a result of the great impact that was achieved from YIUSEP I. UNOPS has received repeated requests from urban communities and the YIUSEP implementation partners for additional support, including priority interventions for Water and Sanitation for Hygiene (WASH), municipal services and urban roads. These priority requests from local counterparts form the basis for this new project, which has been prepared considering the key lessons learned and best practices during YIUSEP’s implementation, and based on the evidence from the latest Yemen DNA study.

YIUSEP II aims to ensure continuous World Bank engagement in the urban sector in Yemen, which is critical not only for restoring critical urban services, but also in terms of supporting the country’s fragile public institutions through capacity building and training. The request for the new project is based on the following rationale: a) by building on the ongoing operation, it will leverage the effective implementation arrangements and local partnerships developed, and the excellent results achieved; b) the new project will be able to incorporate the lessons learned in responding to unmet priority needs given the ongoing conflict; c) it will respond to COVID-19 recovery needs; d) it will build resilience to flooding and flash-flood risks in the most vulnerable cities; and e) it will complement other Bank and donor projects including in the health and energy sectors.

The project focuses on restoring access to critical urban services and strengthening resilience to shocks in selected cities where most of the conflict-related damage has occurred. The project will target cities in Yemen that have been covered in the Yemen DNA. Seventeen cities qualify under this criterion: Ad-Dhale, Aden, Al Hazm, Amran, Bayhan, Dhamar, Hodeidah, Khoka, Lahj, Lodar, Ma’rib City, Mocha, Rada’a, Sa’da, Sana’a, Zinjibar and Taiz<sup>8</sup>. The project is operating in a diverse sectoral and institutional

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<sup>8</sup> Yemen Dynamic Needs Assessment: Phase 3 (2020 Update) (English). Washington, D.C. : World Bank Group.  
<http://documents.worldbank.org/curated/en/490981607970828629/Yemen-Dynamic-Needs-Assessment-Phase-3-2020-Update>.



context with activities spanning several sectors (tertiary municipal services and solid waste management, urban water and sanitation, urban roads, energy and Institutional Capacity). Initial damage assessments indicate a high degree of interdependence amongst these sectors. The project will embrace an integrated approach to selecting and implementing activities to maximize cost effectiveness and to ensure complementarity across sectors.

The new project is designed to be four (4) years in duration. This ambitious timeline is achievable because YIUSEP II is effectively a continuation of the existing YIUSEP, and: i) it will commence before YIUSEP closes to ensure overlap and continuous deployment of a UNOPS team on the ground; ii) there are numerous quick-win and small-scale interventions which can be readily implemented, and which don't require long lead times in terms of design and/or procurement; and iii) there are already effective and established working relationships between the World Bank team, UNOPS, and the local partners across the country with proven success in sub-project implementation.

The financing instrument of the proposed project is Investment Project Financing with an operational life of three (3) years. The last one year is set aside for management of the carried over time of the Defects Notification Period (DNP). The project will be financed by a US\$ 170 million equivalent IDA grant to UNOPS as recipient and implementing agency of the proposed project<sup>9</sup>. UNOPS will carry out the Project with due diligence and efficiency and in conformity with appropriate administrative, financial, technical, Environmental and Social Standards and practices, and in accordance with UNOPS rules and regulations, the Financial Management Framework Agreement (FMFA), the ESCP and the PAD.

The activities for the Project will be implemented by UNOPS and the designated PMUs: Public Works Project (PWP), Road Maintenance Fund Implementation Unit (RMF IU), and the Urban Water Project Management (UW PMU) as local implementing partners. UNOPS will also engage in coordination with the relevant UN agencies that are implementing programs on behalf of the World Bank in Yemen, as well as with the local communities in cities where the activities will be implemented.

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<sup>9</sup> Additional financing will be sought when the project is implementing, given the immense needs on the ground. Any additional financing will depend on the project meeting the policy requirements for additional financing and availability of resources.



## **PROJECT DESCRIPTION**

### **PROJECT DEVELOPMENT OBJECTIVE (PDO)**

To restore access to critical urban services and strengthen resilience to shocks in selected cities within the Republic of Yemen.

### **PROJECT BENEFICIARIES**

The project is expected to reach approximately 3.0 million beneficiaries. The beneficiaries include the residents and IDPs of cities where infrastructure investments are being implemented, where urban services are restored, and where the capacity of local institutions is being restored. The cities included in the project represent more than 60% of the urban pre-crisis population, and more than 20% of the total country pre-crisis population.

Of the above beneficiaries with access to urban services and assets restored, a subset of approximately 800,000 beneficiaries will be identified who are benefitting from enhanced resilience through interventions in the WASH, transport, and energy sectors in the same cities.

### **PROJECT COMPONENTS**

The project will finance the restoration of critical urban infrastructure damaged by the conflict and recent flooding (Component 1), whilst strengthening the capacity of local institutions to provide continuity and sustainability of urban service delivery (Component 2). A tentative first year investment pipeline has been prepared, based on technical and sustainability criteria, including: (a) ability to address the unmet needs in targeted cities; (b) impact on COVID-19 response; (c) potential to build resilience to urban flooding; (d) feasibility (considering access to goods and supply, conflict, capacities) and potential of integration with other activities; and (e) potential for local job creation. A core project principle is to prioritize investments which offer the greatest value for money and maximize the number of beneficiaries, including vulnerable groups. Based on the lessons learned from YIUSEP, this is best achieved through a spatially targeted and integrated approach to investments, with multi-sectoral coordination and participatory identification and planning of interventions. To retain flexibility and adaptability, sub-project selection will occur on an incremental basis to respond to changing needs on



the ground. Notwithstanding the above, fair distribution of resources across the different cities and sectors during the two and a half years of project implementation is also a key consideration in project design.

The cities where sub-projects are proposed include Sana'a, Aden, Dhamar, Amran, Sa'ada, Al Hodeidah, Zinjibar, Al Mukalla, Al Dhale'e, Taiz, Lahj, Bajil, Bayhan, Bayt al-Faqih, Ibb, Rida, Say'oun, Shihr, and Yarim<sup>10</sup>. These cities represent more than 60% of the urban pre-crisis population, and more than 20% of the pre-crisis population. They have been included based on criteria that were applied to both YIUSEP and this proposed operation, i.e., a pre-crisis (2014) population of 50,000 people or more or were a part of the second phase of YIUSEP. Sana'a, Aden, Taiz and Al Hodeidah have been most damaged by the conflict, and there are reports of a rapid deterioration of urban services, particularly in Aden. Sana'a, Amran, Al Dhale'e, Sa'ada and Al Hodeidah have also suffered from extensive flooding in recent months. The infrastructure of Zinjibar and Taiz has been badly affected by recent conflict and its institutional capacity needs are immense. Support for Lahj and Ibb is particularly vital, as they are a southern and central gateway and play a key role in the country's supply chain and logistics.

### **Component 1: Service Restoration (US\$146.68 million)**

This component will support the preparation and implementation of infrastructure investments. To support the COVID-19 response, attention will be given to WASH and restoring power to hospitals, and labor-intensive works. The preliminary selection of activities is based on the priority needs identified by UNOPS, in consultation with the UW-PMU, LCs, relevant DLAs and other local partners. The final list of sub-projects will be informed by a citizen engagement process based on the project Stakeholder Engagement Plan (SEP) involving local councils/communities and key stakeholders at the grassroots level, and the establishment of beneficiary committees with equal male and female representation. Involving Yemeni women in subproject selection is a priority, given the immense development benefits the project offers for women. Following is a brief description of each sub-component under this component.

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<sup>10</sup> There are a total of 15 cities under YIUSEP II and this AF which currently have sub-projects: Aden, Ad-Dhale, Amran, Dhamar, Hodeidah, Lahj, Mukalla, Ibb, Sa'adh, Sana'a, Taiz, Zinjibar, Shihr, Sayon, Yarim.



### ***Sub-component 1.1: Tertiary Municipal Services and Solid Waste Management***

The objective of this sub-component is to restore basic neighborhood-level infrastructure in the selected Yemeni cities, and to address the critically urgent needs that could not be met under YIUSEP. This sub-component will finance<sup>11</sup>: i) flood management interventions in Aden, Amran, Sada'ah and Taiz; ii) SWM initiatives in Sana'a, Dhamar, Mukhalla and Sada'ah (including supply contracts for equipment, rehabilitation of waste transfer stations, landfill rehabilitation measures); and iii) rehabilitation of neighborhood sanitation infrastructure in Amran, Aden, Hodeida, Taiz and Lahj. By rehabilitating drains and clearing blockages, this sub-component helps to mitigate flooding in urban areas in response to increasing occurrences of flash floods and heavy rainfall related to climate change. Complementary spatially targeted investments will further contribute to climate change adaptation and mitigation, including stone paving of neighborhood streets, and rehabilitation of local parks and green spaces to better manage storm water runoff and help reduce the urban heat island effect.

### ***Sub-component 1.2: Urban Water and Sanitation***

This sub-component aims to support the COVID-19 response and build gender-related resilience by restoring access to clean water and sanitation. This sub-component will finance small- to medium-scale goods and infrastructure works, including replacing pumps and repairing pipes, as well as critical supplies (such as fuel) to restore water and sanitation service delivery at the city level. The cities of Lahj, Taiz, Amran, Sana'a, Dhamar, Al Dhale'e, Al Mukalla and Al Hodeida will benefit from support to urban water supply, whilst investments in wastewater and sanitation are proposed for Aden, Al Mukalla, and Al Hodeida<sup>12</sup>. To support public health improvements, rehabilitation of the water and sanitation laboratories are proposed for Sa'ada and Zinjibar. The WASH interventions designed under this sub-component will include climate- resilience measures such as flood drainage interventions to help reduce the impact of the flash flood events. Solar energy will also be used to operate key water facilities, providing safe and clear water, with lower emissions.

### ***Sub-component 1.3: Urban Roads***

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<sup>11</sup> Sub-project selection will be finalized in coordination with the relevant District Local Authorities (DLAs) and local communities.

<sup>12</sup> For investments in sanitation the team will ensure the entire supply chain from collection to final treatment is made functional.



The sub-component will improve access and mobility within the target cities of Aden, Lahj, Taiz, Al Mukalla, Ibb and Amran, through rehabilitation and repair of selected major entrances and main streets in these cities, and neighborhood streets. Planned interventions include rehabilitation of road assets damaged by recent flooding in Ibb and Amran. This sub-component will have wider economic benefits as it will help revive national contracting and consulting industries and supply chains, supporting local livelihoods by maximizing the use of manual labor and creating short-term employment opportunities. Lack of road access has also partially contributed to increasing deforestation as rural populations do not have access to fuel<sup>13</sup> - a trend that is undermining the country's climate change adaptation and mitigation efforts. Activities under this sub-component include spot and pothole repairs, crack sealing, patch works, asphalt resurfacing, and road safety improvement works and intersection rehabilitation. All rehabilitation works will consider the climate risks that the roads are exposed to and will adopt the build back better resilience principles.

#### ***Sub-component 1.4: Energy for Critical Services***

This component restores electricity supply to hospitals, clinics, and other medical facilities, in the cities of Aden, Sana'a, Dhamar, Amran, Sa'ada, Hodieda, Zinjibar, Al-Dhale'e, Taiz, Lahj and Al Mukalla. This sub-component will be closely coordinated with relevant UN agencies, local partners, and sub-component 1.2 (which restores electricity for critical water and wastewater assets). To contribute to climate change mitigation, renewable and clean power generation will be encouraged as far as possible. This includes rooftop or ground-mounted solar photovoltaic (PV) based generation (with battery storage), diesel- solar PV hybrid systems. Wherever feasible, energy efficient LED lights in buildings and solar water heaters will be integrated with the electricity supply interventions. Although preference will be given to installation of solar PV and hybrid generation technologies, given the severity and urgency of the situation on the ground in Yemen, rehabilitation of existing conventional diesel generators may be unavoidable in some instances. For instance, diesel generation systems will be required for some hospital buildings and health facilities (and a small number of educational facilities). Notwithstanding, it is expected that renewable energy solutions under the project can showcase their feasibility and pave the way forward for increased use of renewables in future private construction and

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<sup>13</sup> <https://www.scidev.net/global/news/yemen-s-forests-another-casualty-of-war-amid-fuel-crisis/>



energy efficiency in public buildings.

## **Component 2: Implementation Support and Capacity Development (US\$23.32 million)**

### ***Sub-component 2.1: Project Implementation and Management Support***

This sub-component will finance: (a) general management support (indirect) costs for UNOPS; (b) direct project management and supervision costs required to support the implementation of the project; (c) project monitoring, evaluation and coordination at the city level; (d) operations and updates to the sub-project tailored, global information system (GIS)-based expenditure tracking and sub-project information dissemination platform created under YIUSEP to promote transparency and accountability; e) independent audits of project activities, if required; and f) operation of the already existing Grievance Redress Mechanism (GRM) in the UNOPS Sana'a office to document any possible complaints and ensure follow-up.

### ***Sub-component 2.2: Enhanced Capacity Building***

YIUSEP focused on strengthening institutions' capacities to plan and implement the project activities, including maintenance and sustainability of the infrastructure built. Responding to lessons from YIUSEP, this proposed operation will broaden the scope to include training on technical and non-project-related aspects to support local institutions<sup>14</sup> so they are better equipped to perform their service delivery functions beyond the scope of the project. Training topics to be included are procurement and contract management, operational health and safety (OHS), social and environmental safeguards, low carbon and climate resilient infrastructure design approaches, grievance redress, gender-sensitive citizen engagement, and other critical capacity building needs which may be identified. Given the gap between men and women's labor force participation rates, and the absence of women from professional and technical roles within the local institutions, this component will also include gender-sensitive workplace training (including Sexual Exploitation and abuse and Sexual Harassment awareness) and capacity building and training on non-discriminatory hiring and recruitment, so as to create an enabling

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<sup>14</sup> The beneficiaries of the training and capacity building include local implementing partners and agencies in the respective cities (e.g. local water and sanitation corporations (LCs), local offices of RMF-IU, DLAs, PWP, local CFs).





environment for prospective female employees.

**Capacity building action plan.** UNOPS is currently conducting a capacity building needs assessments for a variety of local partners, which will inform the development of a capacity building action plan under this sub-component. In the water and sanitation sector, UNOPS has already conducted four rapid assessments on LWSCs to evaluate capacity needs. Additional rapid reviews will be conducted on the remaining seven LWSCs to review existing needs and propose suitable capacity building and training activities. Similar reviews will be conducted for PWP, RMF-IU, UW-PMU and selected local cleaning funds. Depending on availability of funds, these reviews will be completed before effectiveness or right after. Priority will be given to local partners that will be involved in the implementation of the first-year sub-projects. Other international partners have also prepared a series of capacity assessments for local partners in Yemen, for example GIZ - DAS III for 23 LCs and water utilities in 2018, which will support the finalization of the capacity building action plan.

This sub-component will include traditional training activities to be delivered in person and/or virtually, preparation of operation manuals, handbooks and brief guidelines to support the training. This sub-component will engage local partners and targeted operators in workshops, group discussions, and hands-on simulations, and will provide the necessary IT equipment and/or software to perform each activity. The capacity building activities will also be made available to interested private sector actors and local research and academic institutions and this will include training on climate change adaptation and mitigation . The task team is currently identifying potential partnerships with local research institutions to explore how capacity building activities initiated under the proposed project could be institutionalized to improve sustainability. The sub-component will be designed and delivered by international experts while tapping to existing local expertise. This sub-component will also support citizen engagement, communication, and the project Gender Action Plan (GAP), including facilitation of a bottom-up process for needs prioritization at the local level.

Beyond institutional capacity building, the project will also provide training and support to local contractors, small and medium enterprises (SME's) and prospective entrepreneurs, including women owned businesses (WOB) which is an initiative that will identify local women-owned business in country and reach out to them to promote UNOPS business opportunities. The WOB initiative should



encourage local WOBs to register on the UN Global Market ([UNGM.org](http://UNGM.org)) and to apply for UNOPS small-scale tenders that are served for WOBs based on UNOPS tailored training sessions in areas of eSourcing, procurement process and tendering, logistics, and safeguards. The progress of this initiative will be measured in terms of the number of WOB that obtain official registrations as stated the project result indicators.

### ***Sub-component 2.3: Third Party Monitoring***

No later than three (3) months after the Effective Date, UNOPS will engage a Third-Party Monitoring (TPM) agent to undertake independent results verification of sub-projects funded under the project. The TPM agent will include female staff. On a quarterly basis, the TPM agent will report on the activity outputs, the restoration of services for the intended beneficiaries, and the fiduciary and safeguard processes followed by the local partners. The Terms of Reference (TORs) for the TPM agent will be developed by UNOPS and agreed upon with the World Bank. UNOPS will share with the World Bank summary of qualifications of the recommended candidate entity(ies) for the contract of the Third-Party Monitoring Agent(s) prior to their hiring. Upon receipt of the Third-Party Monitoring quarterly report from the TPM Agent, UNOPS will promptly furnish said report to the World Bank, and no later than five calendar days from the receipt of the TPM Agent's report with any comments that UNOPS may have. UNOPS will also share a report with the World Bank on the actions taken to address any implementation issues identified by the TPM agent within 2 weeks from the date of submission of the monitoring report.

### **Component 3: Contingent Emergency Response (US\$0)**

The objective of this component is to support the country's response capacity in the event of an emergency, following the procedures governed by OP 10.00 paragraph 12 (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 component will be subject to the declaration of emergency by the RoY, the international community, or the UN.

In order to ensure the proper implementation of contingent emergency response activities under the CERC, UNOPS will ensure that:

- A. A manual (“CERC Manual”) is prepared and adopted in form and substance acceptable to the World Bank, which shall set forth detailed implementation arrangements for the Contingent Emergency Response Part, including: (i) any structures or institutional arrangements for coordinating and implementing the Contingent Emergency Response Part; (ii) specific activities which may be included in the Contingent Emergency Response Part, Eligible Expenditures required therefor (“Emergency Expenditures”), and any procedures for such inclusion; (iii) financial management arrangements for the Contingent Emergency Response Part; (iv) procurement methods and procedures for the Contingent Emergency Response Part; (v) documentation required for withdrawals of Financing amounts to finance Emergency Expenditures; (vi) a description of the environmental and social assessment and management arrangements for the Contingent Emergency Response Part; and (vii) a template Emergency Action Plan;
- B. The Emergency Action Plan is prepared and adopted in form and substance acceptable to the World Bank.
- C. The Emergency Response Part is carried out in accordance with the CERC Manual and the Emergency Action Plan; provided, however, that in the event of any inconsistency between the provisions of the CERC Manual or the Emergency Action Plan and this Agreement, the provisions of this Agreement shall prevail; and
- D. Neither the CERC Manual nor the Emergency Action Plan is amended, suspended, abrogated, repealed or waived without the prior written approval by the World Bank.

## **PROJECT RESULT INDICATORS**

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



<b>Project Development Objective Indicators</b>			
<b>Indicator Name</b>	<b>PBC</b>	<b>Baseline</b>	<b>End Target</b>
<b>Beneficiaries with restored access to critical urban services (Number)</b>			
<b>People provided with restored access to rehabilitated water supply services (Number)</b>		<b>0.00</b>	<b>800,000.00</b>
<b>Of which are women (Number)</b>		<b>0.00</b>	<b>392,000.00</b>
<b>Which benefit from climate resilient infrastructure approaches (Number)</b>		<b>0.00</b>	<b>400,000.00</b>
<b>People provided with restored access to rehabilitated sanitation services (Number)</b>		<b>0.00</b>	<b>1,200,000.00</b>
<b>Of which are women (Number)</b>		<b>0.00</b>	<b>588,000.00</b>
<b>Which benefit from climate resilient infrastructure approaches (Number)</b>		<b>0.00</b>	<b>950,000.00</b>
<b>People benefiting from restored electricity supply to health facilities (Number)</b>		<b>0.00</b>	<b>600,000.00</b>
<b>Of which are women (Number)</b>		<b>0.00</b>	<b>294,000.00</b>
<b>People benefiting from improved urban roads (Number)</b>		<b>0.00</b>	<b>1,000,000.00</b>



Of which are women (Number)		0.00	490,000.00
People benefiting from reduced flood risk (Number)		0.00	300,000.00
Of which are women (Number)		0.00	147,000.00
Subprojects that adopt climate resilient infrastructure design approaches (Percentage)		0.00	60.00

#### Intermediate Results Indicators by Components

Indicator Name	PBC	Baseline	Intermediate Targets	End Target
			1Y	
<b>Services Rehabilitation</b>				
Tertiary municipal services activities implemented. (Number)		0.00	30.00	136.00
Urban roads rehabilitated. (Kilometers)		0.00	20.00	200.00



<b>Energy generation supported through the Project (Megawatt hour(MWh))</b>		<b>0.00</b>	<b>1,500</b>	<b>60,000.00</b>
<b>Critical urban facilities using solar power generation (Number)</b>		<b>0.00</b>	<b>15.00</b>	<b>95.00</b>
<b>Beneficiaries that participated in consultative forums to inform sub-project selection. (Number)</b>		<b>0.00</b>	<b>1,700</b>	<b>1,700</b>
<b>of which are women (Percentage)</b>		<b>0.00</b>	<b>0.00</b>	<b>34.00</b>
<b>Percentage of beneficiaries that participated in consultative forums who reported that their feedback informed sub-project selection. (Percentage)</b>		<b>0.00</b>	<b>0.00</b>	<b>85.00</b>
<b>women's responses (Percentage)</b>		<b>0.00</b>	<b>0.00</b>	<b>85.00</b>
<b>Percentage of grievances that are addressed in 28 days (Percentage)</b>		<b>0.00</b>	<b>90.00</b>	<b>90.00</b>
<b>Percentage of project financing executed by local contractors or suppliers (Percentage)</b>		<b>0.00</b>	<b>60.00</b>	<b>60.00</b>



<b>Person-days of temporary employment created under the Project. (Number)</b>		<b>0.00</b>	<b>370,000.00</b>	<b>1,500,000.00</b>
<b>Participating contractor and consulting firms must have a minimum of 5% of staff who are women (Text)</b>		<b>No</b>	<b>Yes</b>	<b>Yes</b>
<b>Value of tender slots allocated for Women Owned Businesses (WOB) only (Amount(USD))</b>			<b>300,000.00</b>	<b>1,000,000</b>
<b>Share of private sector participants that benefited from climate change training that reported they had a greater understanding of the need for climate adaptation and mitigation in Yemeni cities (Percentage)</b>				<b>50.00</b>
<b>Component 2: Implementation Support and Capacity Development</b>				
<b>Number of managers and staff trained among local partners, local consultants and contractors. (Number)</b>		<b>0.00</b>	<b>600.00</b>	<b>1,800.00</b>
<b>Increased understanding among employers who participated in the training, of the importance of gender diversity in their workforce and women's economic empowerment. (Percentage)</b>		<b>0.00</b>	<b>75.00</b>	<b>75.00</b>



COVID-19 awareness building/training sessions in project locations. (Number)		0.00	8.00	15.00
Share of trained unregistered business owners who complete a formal business registration - for female owned businesses (Percentage)		0.00		60.00

## SECTION II: IMPLEMENTATION ARRANGEMENTS

### *ROLES AND RESPONSIBILITIES*

The local implementation partners will have varying levels of responsibility and authority when participating in project activities, which will evolve over the course of the project life cycle. Their responsibility entails management, preparation/reviewing technical designs, coordination and supervision, as well as contributions to communications and sensitization, citizens' engagement, monitoring and reporting. Since YIUSEP II will be implemented by UNOPS, which will act as the non-sovereign 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	TC	PWP	UW-PMU	RMF-IU
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	↑	↑				

As a result, UNOPS holds the overall fiduciary responsibility as well as for the full management of the project, including financial and risk 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 partners to deliver on project activities, and, in consultation with the World Bank, and will assign resources to be utilized by the local implementing partners on an annual basis. In the energy sector, UNOPS will implement the activities directly. 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 project cooperation agreements between UNOPS and five Implementing Partners: PWP Sana’a Office, RMF-IU Aden Office, RMF-IU Sana’a Office, UW-PMU Aden Office, and UW-PMU Sana’a Office. 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

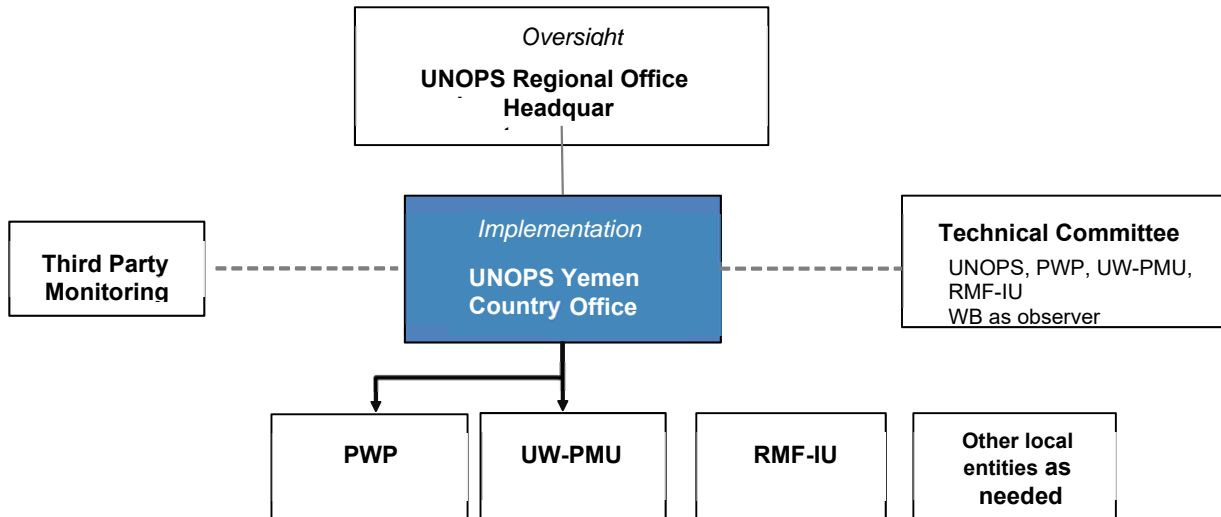


the project; (d) require local implementing partners, through its respective partnership agreements and regular monitoring, to ensure that the Project is carried out in accordance with the Environmental and Social Standards, in a manner consistent with the project ESCP; and (e) ensure that all reporting 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 international and national staff: programme manager, procurement specialist, finance specialist, M&E specialist, an environmental and social safeguards officer (ESSO), a Gender Mainstreaming Officer, a Health and Safety Officer, a logistics officer, IT officer, GRM Clerk and an administrative officer. This office has already successfully implemented the YIUSEP and has a significant presence in Yemen.



**Figure 2. Project Governance and Management Structure**



**Service Restoration: Municipal Services, WASH, Roads, and Energy**

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 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. 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.

## **WORLD BANK IMPLEMENTATION SUPPORT AND OVERSIGHT**

World 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) engaging independent Third-Party Monitoring Agent (TPMA); (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 independent results verification of project outcomes leading to documenting achievement of the PDO. The TPM will be contracted and supervised by UNOPS while



operating independently in verifying the results of identified sub-projects and Project's activities. The key Objective of the TPM will be to undertake independent results verification of subprojects and identified activities funded under the Project to report on 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.

### ***LOCAL IMPLEMENTING PARTNERS***

While retaining overall responsibility for implementation, fiduciary and safeguards aspects of the project, UNOPS will work with local partners; namely PWP (Sana'a Office), RMF-IU (Sana'a and Aden Office), and UW-PMU (Sana'a and Aden Office) for the implementation of project activities. These local partners have years of experience in implementing IDA investments, and have a strong implementation record under YIUSEP. During the crisis, they have continued to support the implementation of donor-funded projects, leveraging their sector-specific knowledge, relationships with local entities, and on-the-ground experience. They have a good track record of successfully implementing safeguards requirements and compliance with World Bank policies and continue to play a critical role on technical aspects, such as coordinating with local stakeholders, identifying initial investments, and preparing initial specifications, as well as carrying out the assigned activities in accordance with the procurement plan. Despite the ongoing conflict, these local partners have improved their institutional capacities through YIUSEP and several capacity building and training programs.

### ***Public Works Project (PWP)***

The World Bank and other regional, bilateral, and international development agencies have funded and supported PWP since its inception in 1996. Between 1996 and 2015, PWP implemented 5,149 projects in about 11,200 villages and 1,300 urban neighborhoods, totaling an estimated US\$648 million. PWP has played a significant role in improving poor communities' access to education, water, sanitation, roads, and irrigation, among other services. Bank experience with PWP has shown that the organization has a good reputation for fiduciary due diligence, effective delivery of results and political neutrality. PWP, currently, is playing an important implementation role for implementing the Tertiary Municipal Services sub-component of the YIUSEPII and it had successfully implemented 127 projects with a total



cost of \$ 22 million under YIUSEP.

***Road Maintenance Fund Implementation Unit (RMF-IU)***

The RMF-IU established as a special implementation unit responsible for most aspects of foreign-funded maintenance projects, in particular the fiduciary and safeguards as well as regular monitoring and reporting. Over the years, the RMF-IU has gained considerable experience in procurement and contract management. Created in 2005, it had implemented several road maintenance and road rehabilitation contracts with funding from the road maintenance budget as well as from various donors, including the World Bank. For these contracts, the unit had managed all procurement activities for goods, works and consulting services. It had accumulated extensive experience in preparing bids, requests for proposals from consultants, and tender documents. Currently, the RMF-IU is involved in implementing the Urban Roads sub-component of the YIUSEP II and it had implemented 45 projects with a total of cost of \$36.6 million under YIUSEP.

***Urban Water Project Management Unit (UW-PMU)***

The UW-PMU has implemented several water supply and sanitation projects in Yemen. It was established in 2002 as a financially and administratively independent PMU to manage all activities related to the implementation of the World Bank Urban Water Supply and Sanitation Adaptable Program Loan (P057602). During the implementation of this project, the UW-PMU attracted funds from various donors. It had implemented projects including 1,000 km of water supply networks, 250 km of sewer lines, reservoirs with a total capacity of 40,000 m<sup>3</sup>, three wastewater treatment plants, drilling and construction of 65 production and investigation boreholes and several emergency rehabilitations works. The UW-PMU is the local implementing partner for the Urban Water and Sanitation sub-component of the YIUSEP. It is based Sana'a and Aden cities and has close working relationships with LCs.

***YIUSEP II 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 Programme Manager and will be based in Sana'a, Yemen.



**Programme Manager:** Programme 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 deliver 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 Specialist:** The Finance Specialist will be responsible for planning, expenditure tracking, and audit of the project's financial 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 Officer:** The Finance Officer will provide support to the Finance Specialist, in particular during budget preparation, review of project expenditure reports, supporting documentation and operational transactions processes.

**Finance Associate:** Under the direct supervision of the Finance Specialist, the Finance Associate will ensure implementation of operational strategies, adapts processes and procedures. S/he will be responsible to ensure the efficient budgetary and monitoring control, provide support to UNOPS Treasury and ensures proper payments processing, and provide accounting and administrative support to the Finance Unit. S/he is expected to ensure effective financial reporting and control, facilitation of knowledge building, and knowledge sharing.

**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 Programme 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 (intl.):** The Procurement Specialist will provide expertise, support, and technical advice on Programme's 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 operational strategies, management of procurement processes, implementation of sourcing strategy and e-procurement tools, and facilitation of knowledge building and knowledge sharing.

**Logistician Officer:** Under the direct supervision of the Procurement Specialist, the Logistician Officer will be responsible for logistics and freight Forwarding, travel management, asset management, transportation and shipping, vehicles and fleet management, and event and conference administration.

**Procurement Associate:** Under the direct supervision of the Procurement Specialist, the Procurement Associate will be implementing procurement and operational strategies, and be responsible for procurement planning and systems, requisitions, procurement and sourcing strategies, bidding and tendering processes, contract administration, and provide support to knowledge building and knowledge sharing.

**Procurement Assistant:** Under the direct supervision of the Procurement Specialist, the Procurement Assistant will be responsible for implementation of operational strategies, support to contract





administration and procurement processes, administrative and clerical support, and support to sourcing strategy.

**Communications Officer:** Under the overall guidance and supervision of the Programme Manager, the Communications Officer will be responsible for developing and rolling out the Programme Communications and Stakeholder Engagement Strategies, preparing factsheets, press releases, and reports.

**Health, Safety, Social and Environment Specialist:** The HSSE Specialist will provide expertise and technical advice on Programme's HSSE activities. He/She will provide guidance and support in order to obtain the best practices to ensure applying HSSE activities in a timely manner. He/She will also provide advice on preventive measures needed in order to minimize harm resulting from hazards in the project.

**Environmental and Social Safeguards Officer:** Reporting to the Programme Manager, this role will provide overall social and environmental management oversight during the implementation of the Programme. S/he will support and advise the Programme Manager in addressing social and environmental issues during Programme 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 Programme 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 Programme Manager in addressing Gender equality and Gender safeguarding during Programme 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 Officer:** Health and Safety Officer 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.

**Programme Officers:** Programme Officers will be based in the target cities. Programme officer will support the Programme Manager in ensuring an integrated programmatic approach of interventions at cities 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 need basis.

**Central Technical Unit:** The unit will be based in Sana'a and consists of technical specialists recruited on need basis to increase the capacity of UNOPS local partners, e.g. Local Municipality and Waste Management Specialist to work closely with PWP and SWM, Water and Sanitation Specialist to work closely with UW-PMU, Roads/Transport Specialist to work closely with RMF, and other specialists



as/when needed. All specialists will spend most of their working time with UNOPS local partners to improve the quality of technical documents prepared by them. Those local specialists will also participate in the technical assessment of bids during the procurement process.

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

**GRM Clerk:** GRM clerk will be the focal person to receive and handle all GRM related complaints from various mediums. He/She will disseminate the information to the concerned project staff and follow-up for resolution and final closure of complaints.

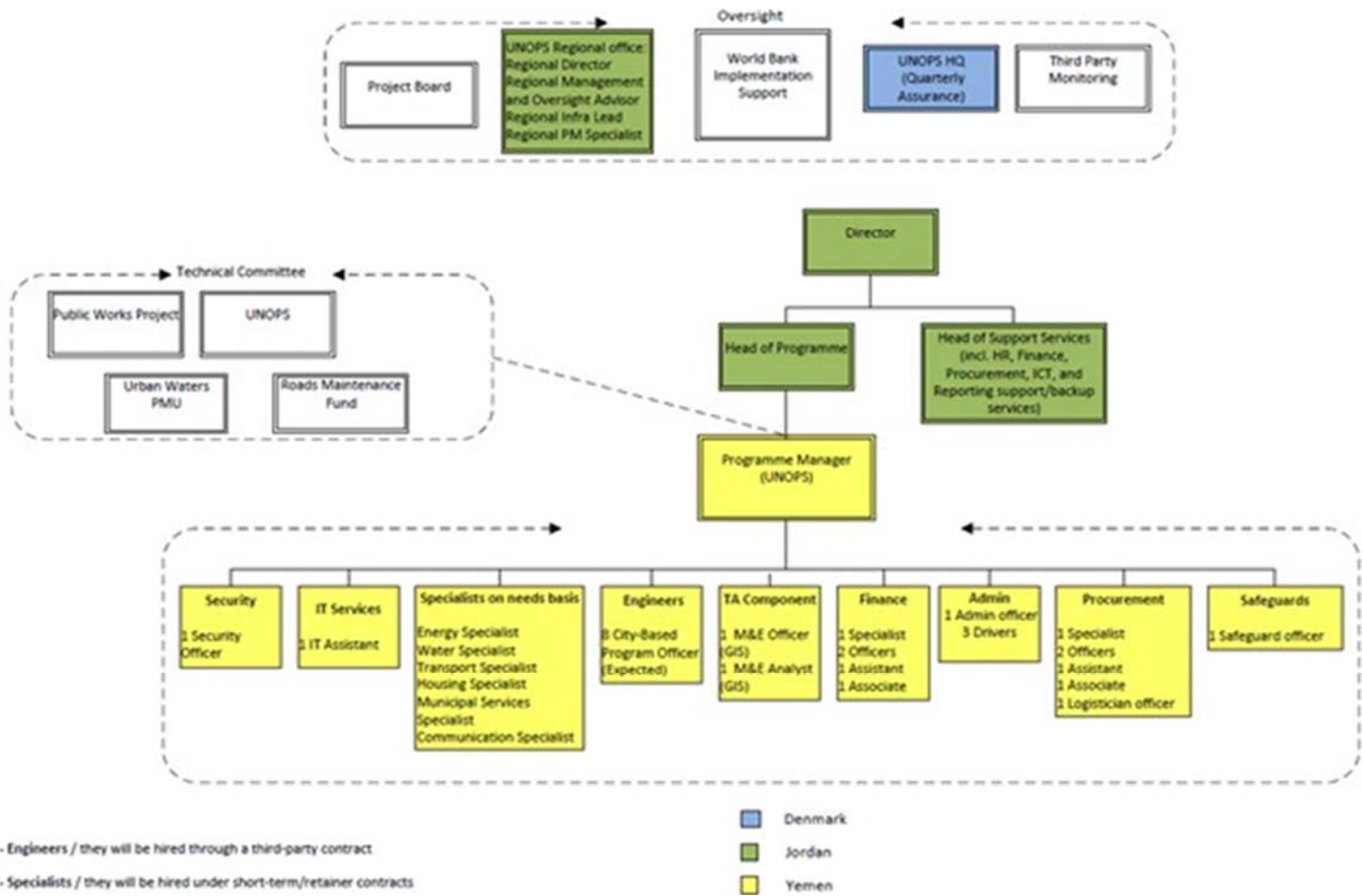


Figure 3: Project Organogram and Oversight Structure



## SECTION III: SECTORAL IMPLEMENTATION ARRANGEMENTS

### *GENERAL*

The project activities in each sector 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 partners are defined in a bilateral Partnership Cooperation Agreement (PCA) with each local implementing partner.

**Integrated approach:** The conflict in Yemen has had a devastating impact on critical urban services, including water and sanitation, municipal services, waste management, urban transport and electricity. Key facilities have been damaged or destroyed, salaries of core staff are not paid, fuel and other basic supplies are missing, and electricity supply to operate facilities is often lacking. The project will support the restoration of these critical urban services, using an integrated approach that ensures important sectoral linkages as an integral part of the design of project activities. To ensure cross-sectoral coordination, the project promotes cooperation among service providers and co-location of complimentary services.

**Engagement and Consultation:** In addition to working with the local implementing partners, UNOPS will engage with civil society organizations and individual communities in order to facilitate community ownership and sustainability of project interventions. 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) 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 partners 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.

**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, 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 Redress Mechanism (GRM):** UNOPS will be responsible for setting up the GRM that would include a simple protocol, and multiple uptake mechanisms (telephone, complaints box, website, email and text messaging). The GRM will to include good communication on the GRM 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 GRM will be registered, tracked, investigated and promptly resolved.

### ***ARRANGEMENTS FOR WATER SECTOR***

UNOPS will establish a partnership with the Urban Water Project Management Unit (UW-PMU) in Aden and Sana’a in the water sector. Subprojects to be implemented by UW-PMU will include small-to medium-scale goods and infrastructure works, as well as critical supplies (such as spare parts) to restore water and sanitation service delivery at the city level. The selection of activities will be based on the priority needs to be identified by the project stakeholder engagement and the UW-PMU consultation



and coordination with LCs, relevant DLAs and/or local communities; approved by UNOPS and endorsed by the project TC.

Tasks to be supported by UW-PMU would be limited to coordinating with local stakeholders, preliminary assessment of bids, post qualification of bidders, 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.

#### **SPECIFIC TASKS UNDERTAKEN BY UW-PMU**

The UW-PMU will perform all necessary activities towards the design and implementation of each sub-project in accordance with the Environmental and Social Standards, in a manner consistent with the ESCP. 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. UW-PMU will propose list of subprojects that maximize the use of manual labor to support local employment, and will also consider the climate risks that the sub-projects are exposed to, and build back better with climate resilience in mind. UW-PMU 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.

#### **TASK 2: COMMUNITY ENGAGEMENT**

The UW-PMU will involve communities to identify the most pressing needs of the urban population in targeted cities. There will be no community contribution towards the funding of any of the selected



projects in any form. The UW-PMU will be responsible for community engagement and mobilization. In particular, UW-PMU will undertake the following:

- a) Appointing an engineer/consultant to conduct detailed site verification.
- b) Holding consultations with beneficiary representatives, including women, with the objective to discuss the selection of interventions, verifying priorities, selecting feasible site locations to maximize the number of communities benefit from the project, while taking into account social and environmental aspects.
- c) During field visits, coordination with local government agencies will be established to ensure sustainability. This will be ensured through the involvement of local offices and/or LCs in the selection of the site, the handover of site to the contractor and a handover of the completed facility to the agency.
- d) Engaging in consultations of women through female mobilization teams to ensure women participation in identifying and prioritizing interventions and support the formation of women councils.
- e) Preparing and submitting to UNOPS a Community Engagement Report to be signed by the community members participating in the prioritization process;
- f) Conducting environmental-screening of proposed activities and developing to the satisfaction of UNOPS, the Environmental Social Management Plan (ESMP) and/or Resettlement Action Plan (RAP), where applicable, for the selected activities in full compliance with the project ESMF and RPF, cleared by UNOPS, in a manner consistent with the ESCP.
- 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 OF WORKS**

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





UW-PMU will take over the approval procedure for construction drawings, documents etc. received upon the start of construction supervision activities at site. In particular, UW-PMU 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 for subproject;
- c) Prepare and/or review design/service parameters, and bring to UNOPS' attention any changes considered appropriate and conduct hydraulic analyses of proposed system designs to determine their compliance with the agreed parameters;
- 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' and subsequent procurement activities UNOPS
- f) After successful procurement process through UNOPS and selection of the Contractor, the UW-PMU will approve the construction/installation methods proposed by contractors and review contractors' engineering/technical staff for carrying out the works to ensure that these are in conformity with the sub-project's technical requirements, implementation schedule, environmental and social management framework (ESMF), as well as safety of works, personnel and the public.
- g) Review the contractor's proposed detailed work program, plant and equipment deployment schedule, contractor's personnel, etc.
- h) Ensure that all the environmental 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; Undertake and/or review hydraulic design and analysis calculations using applicable governing codes and standards, engineering formulae, skills, and experience;



- j) Review shop drawings submitted by contractors;
- k) Coordinate work with other disciplines such as tele-communications, civil, mechanical, electrical, etc.

#### **TASK 4: PROCUREMENT OF CONSULTANTS**

UW-PMU will submit to UNOPS complete technical procurement packages for clearance. In response to each submission of the UW-PMU, UNOPS will issue an advice to UW-PMU. The advice will include UNOPS' comments/No Objection on the technical side of the package.

UW-PMU will select consultant individuals in accordance with the World Bank's "Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers" dated January 2011. UW-PMU shall get No Objection from UNOPS before selections.

This task covers procurement activities of consultancy services for conducting surveys, preparation of designs, specifications and tender documents, supervision of works, conducting socio-economic surveys, and site supervision of all agreed activities/sub-projects. This task 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 UW-PMU 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; Submission to UNOPS for No-Objection; and
- j) Negotiations and award of the contract to the selected firm.



UW-PMU will establish and maintain a pool of consultants interested in participating in consultancy service assignments based on nature of work or geographical location. UW-PMU 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 UW-PMU.

Once established, within 30 days of signing the agreement, the list of registered consultants will be submitted by UW-PMU to UNOPS for review and approval. The list of consultants shall not include government organizations/units in any form, including state owned enterprise. The UW-PMU 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 UW-PMU to remove any consultant from the list due to poor performance, lack of qualifications, or misconduct, and the UW-PMU will immediately comply with UNOPS request on this matter.

For all consultancy contracts, UW-PMU shall furnish to UNOPS, upon request, all relevant documents including but not limited to: ToR's, short-lists, selection procedures, RFP's, evaluation reports and negotiated contracts.

#### **TASK 5: CONTRACT ADMINISTRATION**

UW-PMU 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. UW-PMU will make all engineering decisions required for the successful and timely completion of the contracts. In particular, UW-PMU will be responsible for:

- a) Preparation and review of draft contracts prepared for general and specific applications under ICB and NCB procedures by UW-PMU procurement staff;
- b) Preparation and submission of standard payment processing procedures for UNOPS review and approval;
- c) Prepare amendments/ variations (change orders, change drawings or modifications) as required during the contract implementation;
- d) Effective contract administration in accordance with conditions of contract;
- e) Conduct progress meetings and to review progress claims submitted by contractors;



- f) 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;
- g) Supervise the contractors work and certify the contractors' work in accordance with contract conditions. Ensure that the construction and installation methods proposed by the contractor for carrying out the works are satisfactory.
- h) Certify work volume, review and submit to UNOPS interim and final payments of the Contractors.
- i) Submit payment requests to UNOPS in a timely manner with supporting documentation, as required by UNOPS, for UNOPS to make direct payments to the Contractor.
- j) Establish efficient procedures for verifying Contractor 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 Contractor's claims and invoices.
- k) Reporting and updating the works implementation schedule, highlighting any foreseen delays, and timely proposing corrective measures. Ensure that prior consultation with UNOPS is required for any adjustment of the works implementation schedule.
- l) Recommend, in consultation with UNOPS, the rates for any unscheduled items of work that may arise.
- m) Ensure that safety requirements are implemented in accordance with the contract documents and specifications.
- n) Check "as built" drawing prepared by the Contractors. Keep and record a complete set of as built drawings in paper and electronic formats for archiving in UW-PMU repository.
- o) Assist the applicable local authority for final hand over by the contractors.
- p) Prepare a subproject completion report.

#### **TASK 6: QUALITY MANAGEMENT**

While supervising construction works, UW-PMU will develop and implement quality assurance and quality control systems and plans following industry standards and best practices. Under this task, UW-PMU 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. 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 urban water and sanitation 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 accordingly with recommendations for improvement
- d) Inspection of Contractor's construction equipment, results of material and laboratory tests, safety of the works, property and personnel;
- e) Inspect and test all materials, plants, equipment and works to ensure compliance with specifications and giving immediate notice to the Contractor to remedy in the event that such materials and works fail to comply with the specifications;
- f) Supervise and monitor the implementation of environmental management plan (EMP); and in the event of occurrence of any unexpected environmental impacts, coordinate with UNOPS to recommend necessary mitigation measures;
- g) 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.

#### Defects Notification Period

- h) 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.



### ***ARRANGEMENTS FOR URBAN ROADS AND TRANSPORT SECTOR***

UNOPS will partner with the Road Maintenance Fund Implementation Unit (RMF-IU) Aden and Sana'a offices in this sector. Subprojects to be implemented by RMF-IU will be all under the urban roads/transport sector targeting the rehabilitation of selected primary and secondary urban roads including those at the entrances to the cities. Activities may include spot and pothole repairs, crack sealing, patch works, asphalt resurfacing including thin HMA overlay, road safety improvement works and intersection rehabilitation. This work will contribute to increasing mobility and access, including supporting regeneration of economic activity, and improving road safety. The choice of activities is based on the priority needs identified by RMF-IU in consultation with the District Local Authorities (DLAs), and/or local communities and approved by UNOPS.

#### **SPECIFIC TASKS UNDERTAKEN BY RMF-IU**

RMF-IU 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 RMF, DLAs and communities. RMF-IU will propose projects 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. RMF-IU will work with the relevant DLAs and/or communities to present to UNOPS a prioritized list of projects based on criteria acceptable to UNOPS.

#### **TASK 2: COMMUNITY ENGAGEMENT:**

Through RMF-IU community engagement mechanism, RMF-IU will involve communities to identify the most pressing needs of the urban population in targeted cities. There will be no community contribution towards the funding of any of the selected projects in any form. RMF-IU will be responsible for community engagement and mobilization. In particular, RMF-IU will undertake the following:

- a) RMF-IU shall appoint an engineer/consultant to conduct detailed site verification.



- b) RMF-IU will hold consultations with beneficiary representatives, including women, with the objective to discuss the selection of interventions, verifying priorities, selecting feasible site locations to maximize the number of communities benefit from the project, while taking into account social and environmental aspects.
- c) During these visits, coordination with local government agencies will be established to ensure sustainability. This will be ensured through the involvement of local offices in the selection of the site, the handover of site to the contractor and a handover of the completed facility to the agency.
- d) RMF-IU will engage women in a gender-sensitive consultation through female mobilization teams to ensure women participation in identifying and prioritizing interventions and support the formation of women councils.
- e) RMF-IU will prepare and submit to UNOPS a Community Engagement Report to be signed by the community members participating in the prioritization process;
- f) RMF-IU will conduct environmental-screening of proposed activities and will develop to the satisfaction of UNOPS, the Environmental Social Management Plan (ESMP) and/or Resettlement Action Plan (RAP) for the selected activities in full compliance with project ESMF and RPF cleared by UNOPS.
- 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:**

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

RMF-IU will take over the approval procedure for construction drawings, documents etc. received upon the start of construction supervision activities at site. In particular RMF-IU 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 for the project;
- 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 level;
- e) Prepare and submit complete technical packages of subprojects for UNOPS Design Review' clearance prior launching procurement by UNOPS;
- f) After successful procurement and selection of contractors by UNOPS, the RMF-IU 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 sub-project's technical requirements, implementation schedule, environmental and social management framework (ESMF), as well as safety of works, personnel and the general public.
- g) Review the 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 AND CONTRACTORS**





RMF-IU will submit to UNOPS complete technical procurement packages for clearance. In response to each submission of the RMF-IU, UNOPS will issue an advice to RMF-IU, which will include UNOPS' comments/No Objection on the technical side of the package. UNOPS will then undertake the procurement package through the UNOPS system with technical support from RMF-IU.

**(a) Procurement of consultants**

RMF-IU will select consultant individuals in accordance with the World Bank's "Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers" dated January 2011. RMF-IU shall get No Objection from UNOPS before selections.

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 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 RMF-IU 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 firm.



RMF-IU will establish and maintain a pool of consultants interested in participating in consultancy service assignments based on nature of work or geographical location. RMF-IU 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 RMF-IU.

Once established, within 30 days of signing the agreement, the list of registered consultants will be submitted by RMF-IU to UNOPS for review and approval. The list of consultants shall not include government organizations/units in any form, including state owned enterprise. The RMF-IU 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 RMF-IU to remove any consultant from the list, and the RMF-IU will immediately comply with UNOPS request on this matter.

For all consultancy contracts, RMF-IU shall furnish to UNOPS, upon request, all relevant documents including but not limited to: ToR's, short-lists, selection procedures, RFP's, evaluation reports and negotiated contracts.

#### **TASK 5: CONTRACT ADMINISTRATION**

RMF-IU 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. RMF-IU will make all engineering decisions required for the successful and timely completion of the contracts. In particular RMF-IU will be responsible for:

- a) Preparation and review of draft contracts prepared for general and specific applications under ICB and NCB procedures by RMF-IU procurement staff;
- b) Preparation and submission of standard payment processing procedures for UNOPS review and approval;
- c) Prepare amendments/ variations (change orders, change drawings or modifications) as required during the contract implementation; amendments/ variations shall be approved by UNOPS in advance.
- d) Effective contract administration in accordance with conditions of contract;
- e) Conduct progress meetings and to review progress claims submitted by contractors;



- f) 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;
- g) 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.
- h) Certify work volume, review and submit to UNOPS interim and final payments of the Contractors.
- i) Submit payment requests to UNOPS in a timely manner with supporting documentation, as required by UNOPS, for UNOPS to make direct payments to the Contractor.
- j) Establish efficient procedures for verifying Contractor 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 Contractor's claims and invoices.
- k) Reporting and updating the works implementation schedule, highlighting any foreseen delays, and timely proposing corrective measures. Ensure that prior consultation with UNOPS is required for any adjustment of the works implementation schedule.
- l) Recommend, in consultation with UNOPS, the rates for any unscheduled items of work that may arise.
- m) Ensure that safety requirements are implemented in accordance with the contract documents and specifications. This includes OHS as well as any precautions or mitigation measures during implementation of works in case of any pandemic or epidemic spread.
- n) Check "as built" drawing prepared by the Contractors. Keep and record a complete set of as-built drawings in paper and electronic formats for archiving in RMF-IU repository.
- o) carry out the preliminary taking over of all sub project and issue the initial taking over certificate in close coordination with UNOPS
- p) Assist the applicable local authority for handover of the completed sub project by the contractors after the initial and final taking over certificates have been issued and approved by UNOPS.
- q) Prepare a subproject completion report.



- r) Carry out three inspection visits during DNP for each sub project 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, RMF-IU will develop and implement quality assurance and quality control systems and plans following industry standards and best practices. Under this task, RMF- IU 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. 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 urban 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 clients accordingly with recommendations for improvement.
- d) Inspection of Contractor's 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 the Contractor 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 environmental management plan (EMP); 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.



### **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.

### ***ARRANGEMENTS FOR LOCAL MUNICIPALITY AND WASTE MGMT. SECTOR***

UNOPS will partner with the Public Works Project (PWP) for local municipalities. UNOPS will self-implement the solid waste management part in close coordination with the Cleaning Fund and City Secretariat in each city. Projects to be implemented by PWP will be under any/all of the following sectors:

1. **Neighborhood sanitation** activities may include the rehabilitation of existing inspection chambers and manholes (including replacement of damaged manhole covers), and the repair or expansion of sewer pipes not covered by Local Corporations, subject to their linkages to functional treatment/disposal systems;
2. **Rain water drainage** will improve storm water drainage by constructing channels, box culverts, and water breakers in existing water pathways; rehabilitating existing channels; and providing grills to ensure outlets are not blocked. To the extent possible, these activities will be coordinated with solid waste collection programs;
3. **Stone paving of neighborhood streets** that are not covered under the urban roads project subcomponent. Stone paving of streets will also include paving of pedestrian sidewalks;
4. **Rehabilitation of local parks and green spaces** including cleaning and paving of existing pathways, providing sitting spaces and shades, planting greenery suitable for the local climate, repair of the commonly-used fencing and gates that have been damaged, and children's play areas.

### **SPECIFIC TASKS UNDERTAKEN BY PWP**



PWP will perform all necessary activities towards 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 PWP, DLAs and communities. PWP will propose projects based on the priority needs identified by each targeted urban community. PWP will work with the relevant District Local Authorities (DLAs) and/or communities to present to UNOPS a prioritized list of projects based on criteria acceptable to UNOPS.

### **TASK 2: COMMUNITY ENGAGEMENT:**

**Through the PWP** community engagement mechanism, PWP will involve communities to identify the most pressing needs of the urban population in targeted cities. There will be no community contribution towards the funding of any of the selected projects in any form. PWP will be responsible for community engagement and mobilization. In particular PWP will undertake the following:

- a) PWP shall appoint an engineer/consultant to conduct detailed site verification.
- b) PWP will hold consultations with beneficiary representatives, including women, with the objective to discuss the selection of interventions, verifying priorities, selecting feasible site locations to maximize the number of communities benefit from the project, while taking into account social and environmental aspects.
- c) During these visits, coordination with local government agencies will be established to ensure sustainability. This will be ensured through the involvement of local offices in the selection of the site, the handover of site to the contractor and a handover of the completed facility to the agency.
- d) PWP will engage in consultations of women through female mobilization teams to ensure women participation in identifying and prioritizing interventions and support the formation of women councils.
- e) PWP will prepare and submit to UNOPS a Community Engagement Report to be signed by the community members participating in the prioritization process;



- f) PWP will conduct environmental-screening of proposed activities and will develop to the satisfaction of UNOPS, the Environmental Social Management Plan (ESMP) and/or Resettlement Action Plan (RAP) for the selected activities in full compliance with project ESMF and RPF cleared by UNOPS.
- g) Any issues that may lead to cancellation /re-allocation of activities and/or community dispute must be reported immediately to UNOPS.

### **TASK 3: DESIGN and SUPERVISION OF WORKS:**

PWP will engage external consultants to develop design drawings and bidding documents as and when needed. PWP will review and approve design drawings produced by consultants recruited by PWP to undertake design works. PWP will take over the approval procedure for construction drawings, documents etc. received upon the start of construction supervision activities at site. In particular PWP will undertake the following activities:

- a) Review the geometry, pavement, and other structural designs, drawings specifications, construction method etc.,
- b) Recommend to revise or update the design for achieving greater economy, safety, reliability, and/or durability;
- c) Ensure that all the environmental mitigation measures required to be implemented are incorporated in the contract documents;
- d) Ensure that safety measures are included in the drawings, contract documents and specifications.
- e) Perform and/or review structural design and analysis calculations using applicable governing codes and standards, engineering formulae, skills, and experience.
- f) Prepare drawing for own designs and produce sketches to incorporate in drawings by other consultants.
- g) Review shop drawings submitted by contractors.
- h) Develop and/or review construction cost estimates for civil/structural works.
- i) Coordinate work with other disciplines such as architectural, civil, mechanical, electrical, etc.

### **TASK 4: PROCUREMENT OF CONSULTANTS AND CONTRACTORS:**



This task covers all procurement activities of works and consultancy services for design and survey of all agreed activities. This includes, but not limited to, preparing and/or reviewing tender documents and terms of reference, ensuring that procurement processes advance according to the schedules established in the procurement plan, preparing Bid Evaluation Reports, and contract award as agreed by UNOPS.

In particular, PWP will be responsible for:

- a) Prepare and regularly update project procurement plan for UNOPS approval;
- b) Preparation of realistic procurement strategies;
- c) Developing and issuing invitations to bids, requests for quotation, and requests for proposals;
- d) Publishing procurement advertisements and awards and maintaining a database on procurement activities;
- e) Evaluating submissions to ensure technical compliance with the agreed procurement procedures and cost-effectiveness;
- f) Ensuring all procurement actions are conducted as required according to the applicable policies and procedures as well as the highest degree of personal and professional ethics.
- g) PWP will request UNOPS' No Objection on the final award of civil works contracts, including construction works and procurement of goods prior awarding.

#### **TASK 5: CONTRACT ADMINISTRATION**

PWP 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. PWP will make all engineering decisions required for the successful and timely completion of the contracts. In particular PWP will be responsible for:

- a) 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.
- b) Certify work volume, review and approve interim and final payments of the Contractors.
- c) Submit payment requests to UNOPS in a timely manner with supporting documentations, as required by UNOPS, for UNOPS to make direct payments to the Contractor.





- d) Establish efficient procedures for verifying Contractor 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 Contractor's claims and invoices.
- e) Reporting and updating the works implementation schedule, highlighting any foreseen delays, and timely proposing corrective measures. Ensure that prior consultation with UNOPS is required for any adjustment of the works implementation schedule.
- f) Recommend, in consultation with UNOPS, the rates for any unscheduled items of work that may arise.
- g) Ensure that safety requirements are implemented in accordance with the contract documents and specifications.
- h) Check "as built" drawing prepared by the Contractors. Keep and record a complete set of as-built drawings in paper and electronic formats for archiving in the PWP repository.
- i) Assist the applicable local authority for final hand over by the contractors.
- j) Prepare a project completion report.

#### **TASK 6: QUALITY MANAGEMENT**

While supervising construction works, PWP will develop and implement quality assurance and quality control systems and plans following industry standards and best practices. Under this task, PWP 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. Activities under this task may include:

- a) Inspection of Contractor's construction equipment, results of material and laboratory tests, safety of the works, property and personnel. Inspect and test all materials and works to ensure compliance with specifications and give immediate notice to the Contractor to remedy in the event that such materials and works fail to comply with the specifications.
- b) Develop a quality assurance system and quality control plan.
- c) Monitor Contractors' conformity with environmental and social impact controls.
- d) Monitor Contractors' conformity with traffic control and road safety action plan during construction.



- e) Supervise and monitor the implementation of environmental management plan (EMP); and in the event of occurrence of any unexpected environmental impacts, coordinate with UNOPS to recommend necessary mitigation measures.
- f) Monitor Contractors' compliance with and performance of required actions regarding human trafficking, and labor code standards in accordance with the applicable laws and contract documents, including coordination with UNOPS to ensure awareness and education of laborers and workers.

### **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.

### **SOLID WASTE MANAGEMENT**

UNOPS will self-implement the solid waste management part in close coordination with the Cleaning Fund and City Secretariat in each city. Prior to any investments in this sector in any city, a site suitability assessment will be undertaken of existing landfill sites by UNOPS. The assessment will produce an action plan designed to enable solid waste collection activities in conjunction with a pragmatic and conflict-sensitive landfill site management program. Based on the action plan, possible activities in the sector, to be implemented by UNOPS and reviewed by the WB, may include: output-based service contracts to restore collection and transfer of solid waste to the landfill sites; environment and social safeguards mitigation measures for landfill sites; weighing stations for landfill sites; and limited provision of inputs (e.g. waste collection bins, etc.). Given the imminent health impacts of the uncollected garbage in the streets, waste collection – as one of the responses to the cholera epidemic – will be undertaken in parallel to the necessary mitigation measures at the landfills as identified by the



site suitability assessment. If the assessment finds an existing landfill site in a given city to be unsuitable due to severe health and environmental risks and no remedial actions are possible, UNOPS will either dispose of the waste in an alternate landfill (if possible) or exclude that city from solid waste management interventions.

UNOPS will recruit Solid Waste Management Specialist to undertake the preparation works in each city. In close coordination with the Cleaning Fund and City Secretariat, UNOPS will appoint site supervisors to validate the quantities removed and handover cleaned sites to the relevant authorities. It is understood that the local authorities might not be able to maintain the cleaned sites. Therefore, UNOPS will start with a 12 month cleaning campaign in each city and will look for a more sustainable solution during the campaign to propose to the WB.

This sub-component will be implemented following the UNOPS financial and procurement procedures.

#### ***ARRANGEMENTS FOR ENERGY SECTOR***

UNOPS will self-implement all subprojects in this sector in coordination with UNICEF, WHO and relevant local authorities. Potential subprojects may include hospitals and schools. UNOPS will coordinate with UNICEF and/or WHO while selecting suitable hospitals and schools with the aim of reducing, or-if possible, eliminating fuel consumption. UNOPS will coordinate with relevant local authorities, e.g. Ministry of Education, Ministry of Energy and Local Municipalities for energy projects. Subprojects under this sector will be implemented following the UNOPS financial and procurement procedures.



## 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 sub-project's safeguards instruments as a conceptual framework including a consolidated and coordinated mechanism to facilitate the implementation of the Yemen Integrated Urban Services Emergency Project (YIUSEP II) Sub-Projects.

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 UNOPS' OHS and ESM guidelines and the additional (ESSs); including the preparation of subproject specific Environmental and Social Management Plans (ESMP). This framework will be the base for elaboration of safeguards guideline for UNOPS Technical Team in Sana'a office and UNOPS local implementing partners (PWP, RMF-IU and UW-PMU) who will ensure the implementation of the ESS and practice in accordance with the project Environmental and Social Commitment Plan (ESCP) in all sites.

UNOPS is committed to avoiding and where this is not possible minimize 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 preparing safeguards instruments for component 1. All relevant project documents, including all the project safeguard instruments, are available on the World Bank website through the following link:

<https://projects.worldbank.org/en/projects-operations/document-detail/P175791?type=projects>



## ***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.

### ***Specific Tasks to be undertaken under the ESCP***

With the collaboration of Implementing partners, UNOPS should ensure the implementation of the material measures and actions set out in this ESCP as stated below

## **MONITORING AND REPORTING**

1- **REGULAR REPORTING.** UNOPS shall prepare and submit to the Association regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to, stakeholder engagement activities and grievance log.

2- **INCIDENTS AND ACCIDENTS.** UNOPS shall

- Promptly notify the Association of any incident or accident related to the Project, which has, or is likely to have, a significant adverse effect on the environment, the targeted communities, the public or contracted workers and consultants including security incidents, sexual exploitation and abuse and sexual harassment (SEA/SH) among others.



- Provide details regarding the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and supervising entity, as appropriate. Subsequently, as per the Association's request, UNOPS shall prepare a report on the incident or accident and propose measures to prevent or mitigate the risk of its recurrence.

## **ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS**

### **ORGANIZATIONAL STRUCTURE.**

- UNOPS and its local implementing partners (PWP, UW PMU, RMF-IU) shall maintain the project management unit (PMU) with qualified staff and resources to support the management of the Environmental, Social, Health, and Safety (ESHS) risks and impacts of the project, including Environmental and Social Safeguards Officer (ESSO), the Gender Mainstreaming Officer, and the Health and Safety Officer, all with qualifications and experience acceptable to the Association. Additional personnel may be recruited to manage the additional financing to the parent project (YIUSEP II).
- The implementing partners will each have in place an ESSO and a Health and Safety retaining consultants one month after the Effective Date of the Project. When necessary, each implementing partner will be responsible for preparing site-specific ESMPs/instruments for sub-projects the agency implements, as well as responsible for the monitoring and reporting on the compliance with these site-specific ESMPs/instruments with support from UNOPS.
- The implementing partners shall also use site engineers/consultants as needed to monitor and report on ESHS performance. Additional personnel may be recruited to manage the additional financing to the parent project (YIUSEP II).

### **ENVIRONMENTAL AND SOCIAL ASSESSMENT/MANAGEMENT PLANS AND INSTRUMENTS/ CONTRACTORS.**

UNOPS and its implementing partners shall:

- Update, consult, disclose, and implement the updated Environmental and Social Management Framework (ESMF) disclosed for YIUSEP II, Additional Financing. The ESMF, which has



been updated for the additional financing to the parent project, includes provisions on Occupational Health and Safety (OHS), labor management procedure (LMP), ESHS risks, and SEA/SH, in accordance with the ESSs. Furthermore, the updated ESMF shall incorporate measures related to the Project's Contingent Emergency Response Component (CERC), including the assurance that individuals or groups who, because of their particular circumstances, may be disadvantaged or vulnerable, have access to the development benefits resulting from the Project. Depending on the activities to be financed under the Contingent Emergency Response Component, it might be required for a preparation of a separate environmental and social risk management instrument.

- Conduct environmental and social impact screening and assessment for all sub-project activities and prepare activity specific environmental and social management plans (ESMPs) as per the updated ESMF, implement and monitor each activity specific ESMP. Integrate the activity specific ESMPs and the ESHS requirements into procurement documents to ensure that the ESHS requirements shall be cascaded down to contractors.
- Incorporate the relevant aspects of this ESCP, including, inter alia, any environmental and social management plans or other instruments, ESS2 requirements, and any other required ESHS measures, into the ESHS specifications of the procurement documents and contracts with contractors and supervising firms. Thereafter, ensure that the contractors and supervising firms comply with the ESMP of their respective activities and the Project's ESHS requirements.

#### EXCLUSIONS.

UNOPS shall exclude the following type of activities as ineligible for financing under the Project:

- Activities that may cause long term, permanent and/or irreversible adverse impacts (e.g., loss of major natural habitat).
- New constructions or expansions that may involve permanent resettlement or land acquisition or adverse impacts on cultural heritage.
- Activities that have a 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.

Any other excluded activities offset out in the ESMF of the project.

**CERC.** UNOPS shall.

- Prepare an annex to the ESMF when the CERC is triggered, if activities to be financed under the CERC go beyond activities covered under the approved updated ESMF.
- Ensure that the CERC Operation Manual includes a description of the ESHS assessment and management arrangements including CERC-ESMF Addendum that has been included or referred to in the CERC Operation Manual for the implementation of Component 3 of the Project (CERC Part), in accordance with the ESSs.
- Prepare, consult, disclose, and adopt any environmental and social (E&S) management plans or instruments which may be required for activities under Component 3 of the Project, in accordance with the CERC Operation Manual and, CERC-ESMF Addendum and the ESSs, and thereafter implement the measures and actions required under said E&S management plans or instruments, within the timeframes specified in said E&S management plans or instruments.

## **TECHNICAL ASSISTANCE**

UNOPS shall ensure that the consultancies, studies, capacity building, training, and any other technical assistance provided under Component 2.2 of the Project is undertaken pursuant to terms of reference (ToRs) reviewed and approved by the Association, incorporating the relevant requirements of the ESSs.

### **Third Party Monitoring**

UNOPS shall: (i) appoint a third-party monitoring consultant, with terms of reference, qualifications and experience satisfactory to the Association, to visit and monitor the Project area, collect relevant data and communicate with Project stakeholders and beneficiaries; (ii) require the third-party monitoring





consultant to prepare and submit monitoring reports, which shall be promptly made available to and discussed with the Association; and (iii) promptly take any actions, as may be requested by the Association upon its review of the third-party monitoring consultant reports.

Since UNOPS has already recruited a Third –Party Monitoring (TPM) agent for the parent project (YIUSEP II), UNOPS will need to amend the TPM contract to account for the increased number of sub-projects in target cities as the result of the additional financing to the parent project.

## **LABOR AND WORKING CONDITIONS**

### **LABOR MANAGEMENT PROCEDURES.** UNOPS shall:

- Adopt and implement the updated Labor Management Procedures (LMP) in coordination with the implementing partners. The Project shall carry out activities in accordance with the updated LMP and the applicable requirements of ESS2 , including through, inter alia, implementing adequate occupational health and safety (OHS) measures (including emergency preparedness and response measures), prohibiting employment of persons under 18 years of age), setting out grievance mechanism arrangements for Project workers, and incorporating labor requirements into the ESHS specifications of the procurement documents and contracts with contractors and supervising firms.
- Cause its implementing partners to ensure that all Project workers sign a code of conduct (CoC) to uphold ethical standards and comply with relevant E&S obligations and national legislation, prior to carrying out activities under the Project AF, all in accordance with ESS2.

### **GRIEVANCE MECHANISM FOR PROJECT WORKERS.**

UNOPS and its local implementing partners (PWP, UW-PMU and RMF-IU) shall:

- Require all contractors to establish, maintain, and operate a grievance mechanism (GM) for its workers according to principles indicated in the ESHS requirements for contractors annexed to the updated ESMF and in the updated LMP consistent with ESS2.
- Use the Project level grievance mechanism for community Workers.



#### **OCCUPATIONAL HEALTH AND SAFETY.**

UNOPS and its local implementing partners (PWP, UW-PMU and RMF-IU) shall require all contractors to implement the OHS measures indicated in the ESHS requirements for contractors annexed to the updated ESMF, consistent with ESS2.

#### **RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT**

UNOPS and its implementing partners shall require all contractors to implement the pollution prevention and management measures indicated in the ESHS requirements for contractors annexed to the updated ESMF consistent with ESS3. These include, inter alia, measures/plans to manage hazardous and non-hazardous wastes including waste disposal sites, to use scarce resources (water, construction material, etc.), to manage air emissions due to use of fossil fuel for energy generation and to ensure energy efficiency in accordance with the World Bank's Environment, Health and Safety Guidelines (EHSGs), other relevant Good International Industry Practice (GIIP), and relevant UNOPS guidelines.

#### **COMMUNITY HEALTH AND SAFETY**

##### **COMMUNITY IMPACTS AND RISKS**

Relevant aspects of this standard shall be considered as needed under action 1.2 above, including, inter alia, measures to address:

- the nuisance impact of contractor activities on neighboring communities, including noise, dust, odors, and emissions
- potential exposure of communities to communicable diseases
- ensure that disadvantaged or vulnerable individuals or groups have access to the development benefits resulting from the Project AF activities
- manage the risks of road traffic associated with the Project
- manage the risk of the use of security personnel
- manage the risks of labor influx
- all in accordance with ESS4.

##### **GENDER BASED VIOLENCE.**



UNOPS shall adopt and implement the updated Gender-Based Violence Action Plan (GBV) in accordance with ESS4, to assess and manage GBV risks related to the Project AF activities and prevent and respond to sexual exploitation and abuse, and sexual harassment. Most particularly, UNOPS and its implementing partners shall require all contractors and their new employees to sign a Code of Conduct prohibiting and responding to GBV.

#### **SECURITY MANAGEMENT PLAN.**

UNOPS shall adopt and implement the updated Security Management Plan (SMP) in accordance with ESS4. The updated SMP shall include provisions for the management of security risk of project workers including contractor workers as well as project equipment. UNOPS shall ensure through its local implementing partners (PWP, UW-PMU and RMF-IU) that all contractors shall implement the SMP measures indicated in the updated ESMF requirements for contractors consistent with ESS4.

### **LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT**

#### **RESETTLEMENT PLANS.**

UNOPS and its implementing partners shall:

- Adopt, consult and redisclose the updated Resettlement Framework (RF) for the Project AF and implement it.
- In the event of any activities that may cause temporary economic displacement or may require unexpected land acquisition, prepare, consult upon, disclose, adopt and implement a site-specific resettlement plan in accordance with the updated Resettlement Framework, using terms of reference acceptable to the Association consistent with applicable ESS5 requirements.
- As part of site-specific Resettlement Plans under the Project AF, undertake an assessment of impacts, conduct a census of affected persons and assets, and implement appropriate mitigation measures, including a Grievance Mechanism.

### **BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES**



Not relevant as subprojects involving significant impacts on biodiversity or living natural resources or their habitats shall be excluded at ESMF Screening stage.

#### **INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES**

Not relevant as there are no Indigenous People as defined as per ESS7 in the project area

#### **CULTURAL HERITAGE**

**CHANCE FINDS.** UNOPS and its local implementing partners (PWP, UW-PMU, RMF-IU) shall require all contractors to manage chance find according to principles indicated in the ESHS requirements for contractors annexed to the updated ESMF consistent with ESS8.

#### **STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE**

##### **STAKEHOLDER ENGAGEMENT PLAN (SEP).**

UNOPS and its implementing partners shall:

- Adopt, update as necessary, and implement a standalone SEP related to the Project AF, in a manner that is consistent with ESS10.

##### **GRIEVANCE MECHANISM.**

UNOPS and its implementing partners shall maintain, adapt and expand the grievance mechanism for the Yemen Integrated Urban Services Emergency II Project as indicated in the updated SEP, and make it publicly available to receive and facilitate resolution of concerns and grievances in relation to the Project AF, including SEA/SH allegations, consistent with ESS10.

#### **CAPACITY SUPPORT (TRAINING)**

UNOPS shall provide training to personnel involved in the parent Project as well as the Project AF implementation, including:



- ESHS requirements
- Toolbox talks on OHS related to workers in construction sites on:
  - On-site risk identification and mitigation
  - Use of Personal Protective Equipment (PPEs)
  - Emergency Prevention and Preparedness
  - Grievance mechanism for workers:
  - Gender based violence – sexual exploitation and abuse (SEA)/sexual harassment (SH) and grievance management
  - Land acquisition and resettlement management

### ***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 partners to: (i) determine the environmental and social issues that might be triggered by the subproject, (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 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) Environmental and Social Baseline
- (iv) Consultations
- (v) Mitigation Instruments

Subprojects that cause significant environmental and social impacts will require a full ESIA and ESMP, and might require a Resettlement Plan. Guidance for resettlement planning is detailed in the Project's Resettlement Framework.

UNOPS and its implementing partners 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 partners 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 partners will enforce compliance by contractors with these requirements. The requirements include 10 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) Code of Conduct



UNOPS has an international consultant who is well experienced with the Bank Policies and ESF requirements. Besides, UNOPS has an Environmental and Social Officer (ESO) based in Sana'a Office who is in-charge of supervising and reporting on the implementation of ESMF of YIUSEP Phase II. Furthermore, the ESO is also supported by a Gender Specialist responsible for monitoring social aspects and will also look at GBV issues with backup from the Gender Focal Point in Amman Office. It should be indicated that UNOPS also assigns a full time GM focal point as part of the PMU staff. Furthermore, safeguards' capacity is supported by 3 engineers, one in each of the following cities: Sana'a, Aden and Hodeidah. These engineers, are responsible to follow up on environmental and social safeguards aspects. The same adequate capacity and arrangements which are currently available for IUSEP Phase II will continue to be in place under the AF. In addition, Occupational Health and Safety retainers are used in monitoring the application of OHS measures in the 11 cities in which the project will be operating. It is mentionable that UNOPS regional hub in Amman-Jordan includes Gender specialist who will continue to support IUSEP II, and a new OHS Specialist has joined the hub recently and will provide support to IUSEP II and AF as well. It is mentionable that additional personnel may be recruited by UNOPS and its implementing partners to effectively manage the additional financing to the parent project because of the increase in the numbers of sub-projects in each target city under YIUSEP II.

UNOPS will monitor and report on implementation of the ESMF, with inputs from implementation partners and the TPM agent. The 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 Partners will each recruit or designate a GM focal point to handle Project activity-related complaints.

The local implementing partners are equipped with safeguard officers with range of experience and capacity on Bank polices. However, they require training and guidance on the ESF requirements. The safeguard officers at PMU-level shall coordinate closely with UNOPS ESO and report on the



implementation of the ESMF and site-specific instruments. This arrangement has been efficient in ensuring adequate monitoring and reporting under the project.

The implementing partners are covering the cost of their respective E&S focal points and GM focal points as part of their respective Project Cooperative Agreement (PCA) with UNOPS. These focal points might not work full time on YIUSEP II activities, as each implementing partner has partnered with several projects. The cost of due diligence for specific subprojects (preparation of the screening form, consultations, GM, preparation of ESMPs, and monitoring) are included in the costs/budget for each subproject.

### ***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 partners will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about project and any activities related to the project. UNOPS and its implementing partners will disclose Project information to the targeted stakeholder audiences. Key dates for information disclosure are at the start of the project, at mid-term as well as at the end of the lifespan of the project. UNOPS will translate the SEP, as well as the Project Environmental and Social Management Framework (ESMF), the Resettlement Framework, the Labor Management Procedures (LMP), the SEA/SH Prevention and Response Action Plan into Arabic, and make hard copies in English and Arabic publicly available at its Project Office in Sana'a, as well as the UNOPS Project website<sup>15</sup>, and through the websites of the implementing partners (PWP, RMF-IU and UW-PMU). These documents will remain in the public domain throughout Project preparation and implementation.

UNOPS and its implanting partners will keep stakeholders informed as the project develops, including reporting on project environmental and social performance, and implementation of the stakeholder

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<sup>15</sup> These documents have been disclosed and can be retrieved from:

- Electronic Copy uploaded at Project Website - English Version
- Electronic Copy uploaded at Project Website - Arabic Version





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.

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 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 marginalised 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, and use women facilitators.

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



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

UNOPS and its implementing partners will also:

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



delivered in greater detail, UNOPS and its implementing partners will ensure that the description of technical issues is adapted to their level of understanding.

- Ensure that presentations can be seen and heard by all participants. This might include the provision of a microphone, proper illumination, the use of a projector, and places allocated for wheelchair users.

UNOPS and its implementing partners will document all meetings to capture all comments received from the stakeholders, including by:

- Taking down the names and affiliations of all participants. Wherever possible, attendees' signatures will be obtained as a proof of their participation. Details of the attendees who were not initially on the list (e.g. those participating in place of somebody else, or general public) should be included in addition to those who have registered for the meeting in advance.
- Assigning a person to take written minutes of the meeting
- Recording the meeting
- Taking pictures
- Video recording the meeting where and when feasible.

The ESSO will prepare monthly summaries reports on public grievances, enquiries and related incidents, together with the status of implementation of associated corrective/preventative actions, and transmit these summary reports to UNOPS' Project Manager. The monthly summaries will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project's ability to address those in a timely and effective manner. UNOPS will publish a produce standalone annual report on 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 Partners 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.

## **Overview of Labor Use in the Project**

### **Type of Workers**

The LMP is applicable to all project workers whether full-time, part-time, temporary, or daily workers:

### **Direct Workers**

Direct workers include all persons engaged directly by UNOPS or an Implementing Partner to work specifically in relation to the project. They include current and new employees who will be assigned to work on the Project, such as the Project manager, supervisors, and the Environmental and Social Safeguards Officer (ESSO), as well as staff of the Implementing Partners. It also includes additional staff required during project implementation, such as consultants providing technical support.

### **Contracted Workers**

Contracted workers will be employed as deemed appropriate by contractors, subcontractors, and other intermediaries, for construction activities, supply, installation, construction, and commissioning, as well as to serve as Third Party Monitors (TPM). Contractors may also hire casual unskilled labors from within communities where construction activities will occur.

### **Community Workers**



The Project will not employ community workers.

### **Primary Suppliers**

Primary supply workers would be engaged by UNOPS to supply parts and equipment on an on-going basis, as well as and construction materials.

### **Labor Influx**

While a substantial number of jobs will be created, it is not expected that the targeted cities will experience significant labor influx as most of the workers required by contractors will be sourced locally. The subprojects that involve civil works: (i) are small in size and scope; (ii) mainly require semi-skilled workers; and (iii) have a short implementation period. For example, stone paving or sewerage rehabilitation subprojects only require 10-15 semi-skilled workers for a period of no more than 4 months. Such workers are widely available in all the cities targeted by YIUSEP II. In addition, UNOPS will encourage contractors to prioritize the recruitment of unskilled labor from the target cities, thus further reducing the risk of labor influx.

However, some subprojects will require skilled workers for short periods, for example individuals or small teams to install solar panels, or to rehabilitate or replace diesel generators. Such skilled workers are likely to come from the Taiz governorate, given that it has the largest concentration of semi-skilled and skilled labor in Yemen, and because of the ability of workers from Taiz to work both in the south and north of the country with minimal social and political impediment.

Therefore, the labor influx under YIUSEP II is expected to be low and limited to skilled Yemeni nationals. An influx of skilled foreign workers or refugees is highly unlikely due to security restrictions, and restrictive local labor procedures. As a consequence, the Project will not establish dedicated worker accommodations, and no Labour Influx Management Plan will be prepared.

### **Number of Project Workers**

#### **Direct Workers**



UNOPS will employ approximately 48 persons to work on YIUSEP II. UNOPS will also directly hire technical and business experts on a need's basis. PWP has 68 employees implementing a portfolio of activities funded by different sources, including the World Bank. Most of their staff could at some point be involved in Project activities, when and if required. Similarly, RMF-IU has 15 employees and UW-PMU has 16 employees, many of which could at some point be involved in Project activities.

### **Contracted Workers**

The precise number of Project contracted workers will only become known during implementation. Nonetheless, implementation should involve approximately 90 contracts that will lead to the recruitment of approximately 1000 and 2000 workers.

Furthermore, UNOPS might contract individuals or companies to carry out surveys, trainings and other assessments within the project.

### **Assessment of Key Potential Labor Risks**

There main labor related risks are:

- **Discrimination in employment** can occur in the workplace in various ways:
- Employers may impose requirements that are not necessary for a job but may result in excluding a specific group
- Female workers might be paid less
- Selection criteria for training and development may be discriminatory.
- Termination of employment may disproportionately target older or female workers
- Project workers may be inappropriately treated or harassed based on their gender, age, disability, ethnicity, or religion.

**Child Labor.** As indicated by UNICEF, the consequences of child labor are staggering. It can “*result in extreme bodily and mental harm, and even death. It can lead to slavery and sexual or economic exploitation. And in nearly every case, it cuts children off from schooling and health care, restricting their fundamental rights and threatening their futures.*”



**Sexual Harassment (SH)** is defined as unwelcome sexual advances, requests for sexual favors, and other unwanted verbal or physical conduct of a sexual nature. SH differs from SEA in that it occurs between personnel/staff working on the project, and not between staff and project beneficiaries or communities. The distinction between SEA and SH is important so that agency policies and staff training can include specific instructions on the procedures to report each. Both women and men can experience SH.

**Workplace related Sexual Exploitation and Abuse (SEA)** is defined as any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Sexual abuse is further defined as “the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.” Women, girls, boys and men can experience SEA. In the context of World Bank supported projects, project beneficiaries or members of project-affected communities may experience SEA.

**Occupational Health and Safety.** The main labor risk associated with the Project is the risk of accidents involving workers, because of the potentially hazardous work environment. The more serious risks include suffocation in confined spaces such as sewers, the collapse of excavations like deep trenching. Other OHS risks include:

- Exposure to noise and dust, falling objects, and exposure to electrical hazards from the use of tools
- Working at height
- Handling solid waste and sludge
- Exposure to wastewater
- Exposure to chemicals such as paints, solvents, lubricants, and fuels
- Traffic accidents
- Lifting of heavy structures
- Environmental hazards (snakes, wasps, bees, etc.
- Welding hazards (fumes, burns and radiation)



**COVID-19 transmission at worksites.** The inevitable proximity of workers at construction sites, as well as physical exertion and hard breathing are all factors that could increase COVID-19 transmission if precautionary measures are not taken.

**Security risks.** Various conflicts at the local and national levels have created a challenging security situation. As a consequence, UNOPS only implements activities in low to medium risk portions of the country.

## **Overview of Labor Requirements**

UNOPS and its Implementing Partners 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 following table provides a point-by-point and sequential comparison of ESS2 requirements, with the requirements spelled out in the Yemeni Labour Code (Law 1995/05). It supports the analysis presented in the following sections.

### ***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 take 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 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 Partners. UNOPS would prepare, and agree upon, ToRs with the relevant implementation 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. UNOPS's ESSO and ESSOs in the Implementing Partners 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 in UNOPS and its Implementing Partners will each handle complaints related to their activities. UNOPS will monitor and report on the RPF implementation with inputs from implementation partners. The 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 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.

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. Hire 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 (IPs) 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.



In addition to building on existing GBV prevention and response systems operating on the ground, YIUSEP II will implement additional GBV/SEA/SH risk mitigation measures in alignment with requirements articulated within the WB Good Practice Note on Addressing Sexual Exploitation and Abuse and Sexual Harassment.

***The Security Management Plan (SMP)***

The SMP was prepared by UNOPS to meet the requirements of the World Bank’s Environmental and Social Framework (ESF) for YIUSEP II, 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. He/she 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 YIUSEP II implementation locations.

UNOPS has both deployed the services of Field Security Advisers (FSA), who are security professionals and who are responsible for overseeing the security arrangements relating to the implementation of YIUSEP II. 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 based in Sana’a 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 partners will include 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 the 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 Program 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 triggers the World Bank's Operational Policy on Environmental Assessment (OP 4.01) and the Operational Policy on Resettlement (OP 4.12)<sup>16</sup>. This ESMF covers OP 4.01 requirements; while the Project's Resettlement Policy Framework (RPF) covers OP 4.12 requirements.

- World Bank Policy on Environmental Assessment, OP 4.01.
- Environment, Health and Safety Guidelines.
- World Bank Operational Policy on Involuntary Resettlement.

#### **1.3 UNOPS Requirements**

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<sup>16</sup> OP 4.01 and OP 4.12 are part of the 10 World Bank's Safeguard Policies. The following are the Safeguards Policies that are not triggered by the Project: OP 4.04, Natural Habitats, OP 4.09, Pest Management, OP 4.10, Indigenous Peoples, OP 4.11, Physical Cultural Resources, OP 4.36, Forests, OP 4.37, Safety of Dams, OP 7.50, Project in Disputed Areas, and OP 7.60, Projects on International Waterways.



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**

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

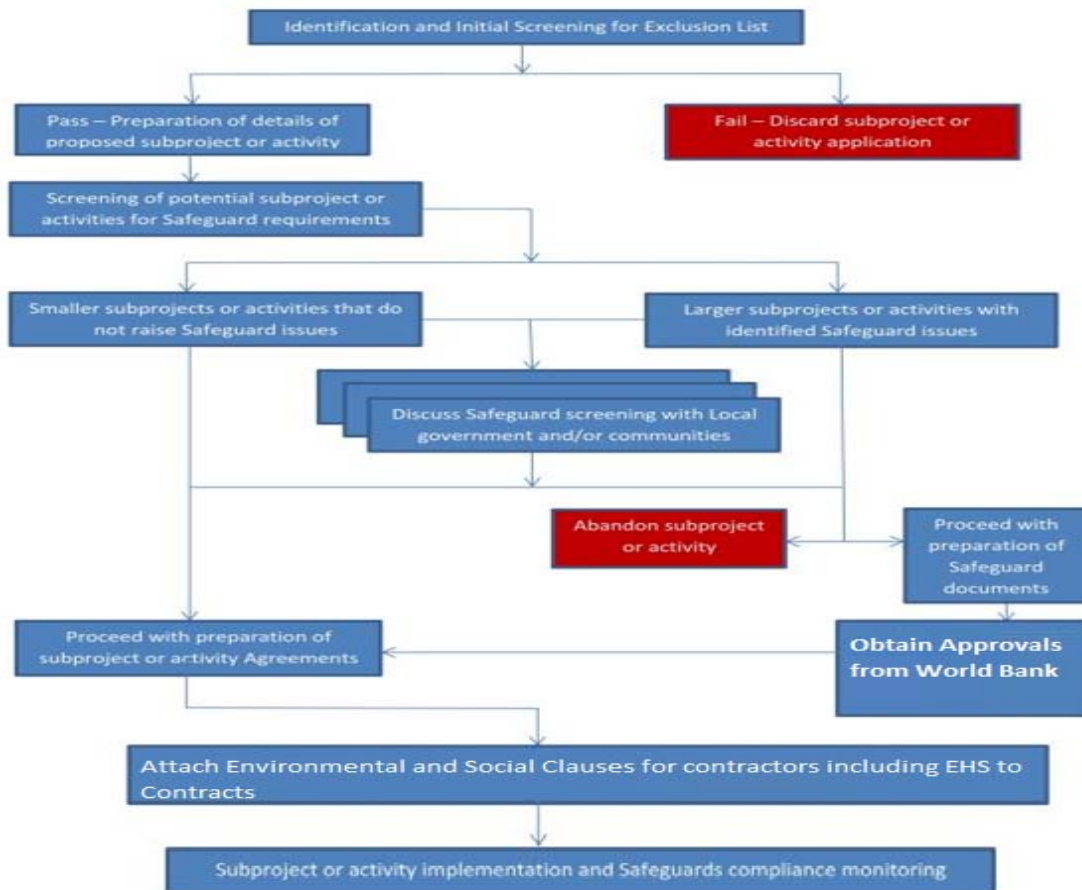
#### **1.6 Application of ESS Procedure**

This procedure applies to all projects which are under UNOPS implementation, the ESS procedure includes but is not limited to sub-project screening, safeguard instruments preparation, implementation under Component 1. Service Restoration/and Sub-components. The application of the procedures begins right at the time of the sub-project approval and inclusion in the procurement plan and is relevant through the sub-project screening, implementation, and subproject monitoring stages.

### ***PROJECT SCREENING AND IMPACTS ASSESSMENT***



All subproject proposals prepared by UNOPS and its implementing partners 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.



**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 ESSO will identify, analyze and assess if the subproject is likely to have any attributes that are on an exclusion list.
- Determination of the need for works contracts for the subproject in order to apply environmental and social clauses for contractors



- Application of a checklist to screen eligible subprojects.
- 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** (equivalent to Category C in OP 4.01). These subprojects do not require safeguards instruments such as clauses for contractors, ESIA or ESMPs.

**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). These subprojects might also require an Abbreviated Resettlement Action Plan (ARAP) prepared under the Resettlement Policy Framework.

**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 an assessment limited to the triggered impacts and will define proportionate and sufficient mitigation measures specific to these impacts. These mitigation measures will be implemented by UNOPS and its implementing partners.

**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's 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 partners 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 partners will enforce compliance by contractors with these clauses.





The clauses cover four issues: (i) Environment, Health and Safety (EHS); (ii) environmental and social monitoring by contractors; (iii) environmental and social liabilities; and (iv) grievance mechanism for workers. 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***

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 established a Grievance Redress Mechanism that address the environmental and social issues. UNOPS and the implementing partners will each recruit or designate a GRM focal point to handle project activity-related complaints<sup>17</sup>.

### ***SPECIFIC REQUIREMENTS FOR SAFEGUARD INSTRUMENTS PREPARATION***

The preparation of the safeguard instruments need specific preparations requirements for each sub-component to be available like technical description, scope of work, name of targeted facilities, conducted public consultations etc. which all need time and coordination<sup>18</sup>. The responsibilities to facilitate the preparation included in the coming section.

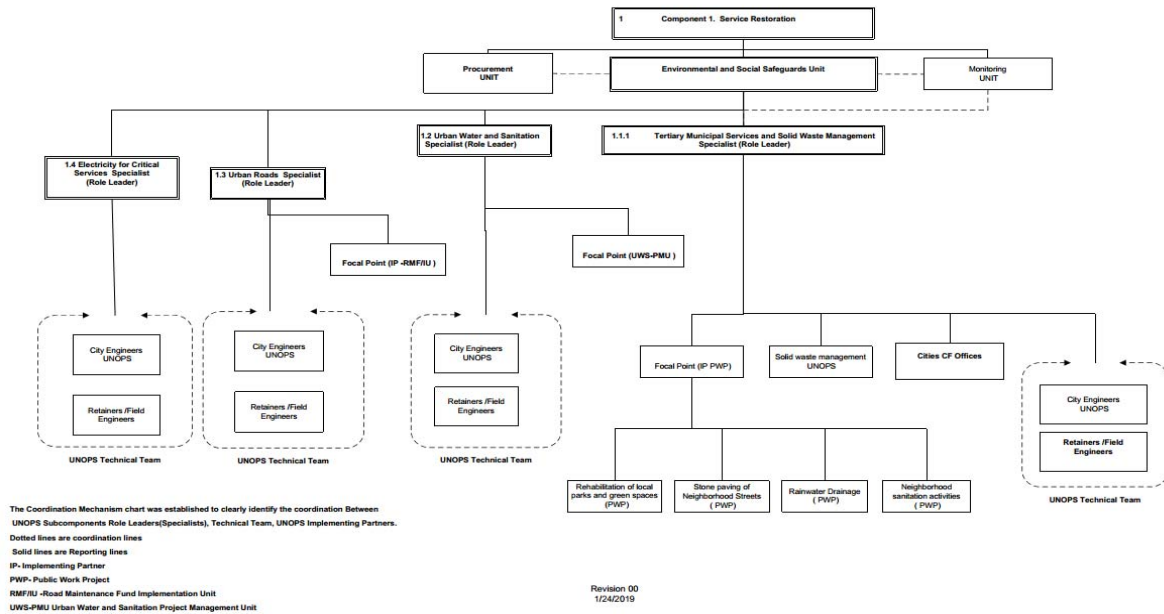
### **Figure 4: Safeguard Coordination Cart**

<sup>17</sup> Annex8: Grievance Redress Mechanism, Complaints Management Review Process and Annex 9: GRM Cases Monitoring and Tracking Log.

<sup>18</sup> **Annex 1 to Annex 8 shows the coordination charts for safeguards instruments preparation for:** Solid waste management **Annex 1**, Neighborhood sanitation activities **Annex 2**, Rainwater drainage **Annex 3**. Stone paving of neighborhood streets **Annex 4**. The rehabilitation of local parks and green spaces **Annex 5**. Urban Water and Sanitation **Annex 6**. Urban Roads **Annex 7**. Electricity for Critical Services **Annex 8**.



**Safeguard Preparation  
Coordination Mechanism Chart**



## 4.2 Responsibilities for Safeguard Preparation

- **Municipal and Solid Waste Management Specialist**

Municipal and solid waste management specialist will take the leading role in coordination with Technical team, ESSO, Procurement unit, Cleaning Fund Offices for all subproject activities under Yemen Integrated Urban Services Emergency project (YIUSEPII) /Sub-component 1.1 Tertiary Municipal Services and Solid Waste Management. The specific required Technical Specification /Description for the subcomponent’s subprojects are included but not limited to the points indicated in Annex 1.

- **Road Specialist**

Road specialist will take the leading role in coordination with Technical team, ESSU, Procurement Unit, Implementing Partners (RMF-IU) for all subprojects activities under Yemen Integrated Urban Services Emergency project (YIUSEP II)/Sub-component 1.3 Urban Roads, The specific required



Technical Specification /Description for the subcomponent's subprojects are included but not limited to the points indicated in Annex 2.

- **Water and Sanitation Specialist**

Water and sanitation specialist will take the leading role in coordination with technical team, ESSO, Procurement Unit, Implementing Partners (UWS-PMU) for all subproject activities under Yemen Integrated Urban Services Emergency project (YIUSEPII)/Sub-component 1.2 Urban Water and Sanitation, the specific required technical Specifications /Description for the subcomponent's subprojects are included but not limited to the points indicated in Annex 3.

- **Energy Specialist**

Energy specialist will take the leading role in coordination with technical team ESSO for all subproject activities under Yemen Integrated Urban Services Emergency project (YIUSEPII) /subcomponent 2.1.4 Electricity for Critical Services, the specific required technical specifications/Description for the subcomponent's subprojects are listed in Annex 4.

- **Procurement Unit**

Procurement unit shall provide an updated procurement plan for all approved subprojects activities under Yemen Integrated Urban Services Emergency project (YIUSEPII) and identify the activities that require supply only and provide activity I.Ds, with priorities.

- **PWP**

To conduct subprojects screening and proceed to consultation as soon as the procurement plan is approved, targeted location identified, initial description is provided and submit the final draft of the safeguard instrument to the ESSO and the Municipal and Solid waste management Specialist for review and comments. The draft safeguard instrument shall include the content as listed in Annex 1.

- **UW-PMU**

To conduct subprojects initial screening and proceed to consultation as soon as the procurement plan is approved, targeted location identified, initial description is provided and submit the final draft of the



safeguard instrument to the ESSO and the Water and Sanitation Specialist for review and comments. The draft safeguard instrument shall include the content as listed in Annex 2.

- **RMF-IU**

To conduct subprojects screening and proceed to consultation as soon as the procurement plan is approved, targeted location identified initial description and submit the final draft of the safeguard instrument to the ESSO and the Road Specialist for review and comments. The draft safeguard instrument shall include the content as listed in Annex 3.

- **ESSO**

ESSO will review subprojects screening and proceed to consultation as soon as the procurement plan is approved, targeted location identified, initial description is provided. ESSO will coordinate and follow up with Municipal and Solid Waste Management Specialist, Sanitation Specialist, Road Specialist and Energy Specialist for providing the final draft of the safeguard instruments including the subprojects technical description required for preparation of safeguard instrument as listed in the relevant Annexes, ESSO will review and finalize the safeguard instrument and advise if any necessary further information needed.

## ***MONITORING OF SAFEGUARDS PREPARATION AND IMPLEMENTATION***

### **5.1 Perpetration 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 Specialists Role (Leaders)	TBD	TBD	TBD
3	Follow up I.P Consultation/(Men-women) including Location, Date, and photos	UNOPS Specialists Role (Leader)	TBD	TBD	TBD



4	Provide final Draft of Safeguard instruments include full technical description as annex 01	UNOPS I.P	TBD	TBD	TBD
5	Conduct UNOPS public consultation /(Men-women) including Location, Date, and photos	ESSO	TBD	TBD	TBD
6	Review the safeguard instrument Draft	ESSO	TBD	TBD	TBD
7	Finalize and submittal	ESSO	TBD	TBD	TBD
8	Safeguard instrument approval and clearance	UNOPS and WB	TBD	TBD	TBD

### 5.2 Monitoring of safeguard preparation plan.

The safeguard preparation plan has to be prepared at the beginning of the year after the procurement plan is approved, at this stage the consultation for the subproject might be conducted as appropriate for sub-project that are directly implemented by UNOPS, whereas, coordination and following up UNOPS implementing partners to submit a draft copy of safeguard instruments for review and finalizing is required for Sub-project implemented by UNOPS partners. Sample monitoring of Safeguard Preparation Plan is included in annex 9.

### 5.3 Monitoring Safeguard Implementing Partners

The final draft of safeguard instrument will be submitted to WB for review, comments, and clearance, once the draft is finalized and cleared then UNOPS will share the final cleared version of safeguard instrument with relevant Implementing partners, UNOPS Procurement and Technical team, to be included in the tender documents of contractors.

### 5.4 Contractors monitoring

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 contract is awarded to contractor and subproject activities is started a selected subproject is visited by UNOPS site engineers and ESSO to ensure the compliance with safeguard



instrument mitigation measures are put in place by contractor and verified / Documented through field visits tools.

### **5.5 Field visits tools**

The field visits tools are a group of methods used to monitor compliance of UNOPS contractors and Implementing Partners with Safeguard instruments mitigation measures, Contractors Clauses of contractors, Training to site workers, Contractors ESMP preparation, etc. Annex 8: Questionnaire Used in Review of Safeguards Preparation, Supervision and Monitoring,



## **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) preparation of financial and progress reports submitted on a semiannual basis.



## **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 Tadamon International Islamic Bank (TIIB). 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 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 partners will be defined in each bilateral agreement between UNOPS and the respective local 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 on the basis of 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, 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**

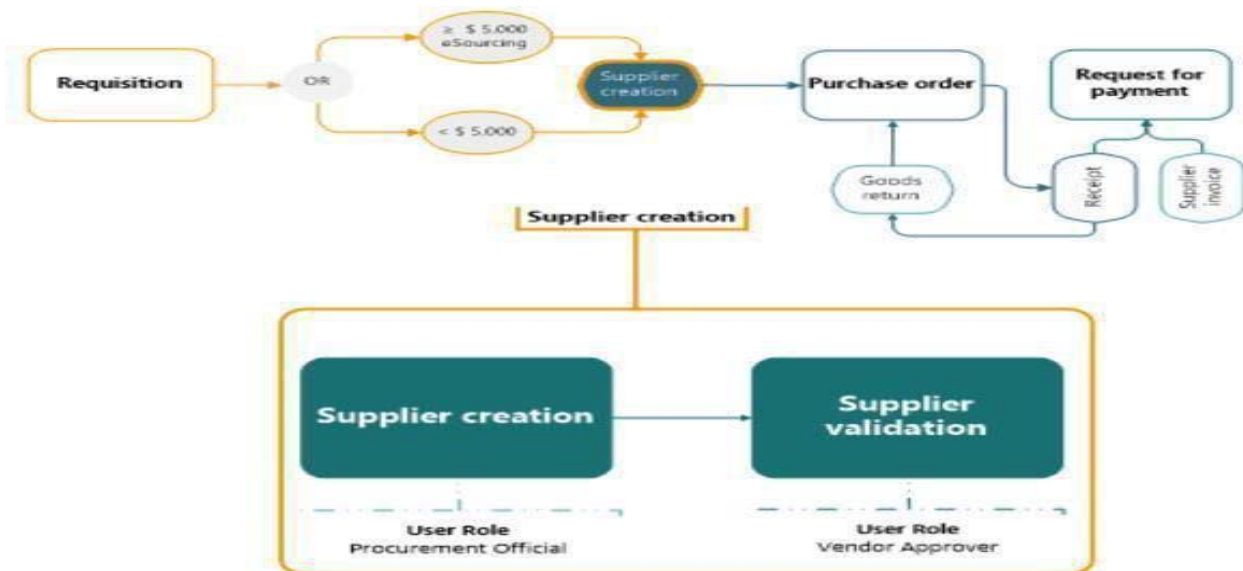


In order to better control the level of cash, the Project is required to submit the cash forecast on a monthly basis to the Finance team in Amman. Based on the cash forecast, the Finance team in Amman will coordinate with UNOPS Treasury disbursements to the local bank account in order to ensure that 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 5: Supplier management process**



**WORKFLOW FOR REQUEST FOR PAYMENTS (RFPS)**



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:

- a) The said payment is due and had not previously been made;
- b) 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;
- c) The payment is made against a recorded commitment;
- d) 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:

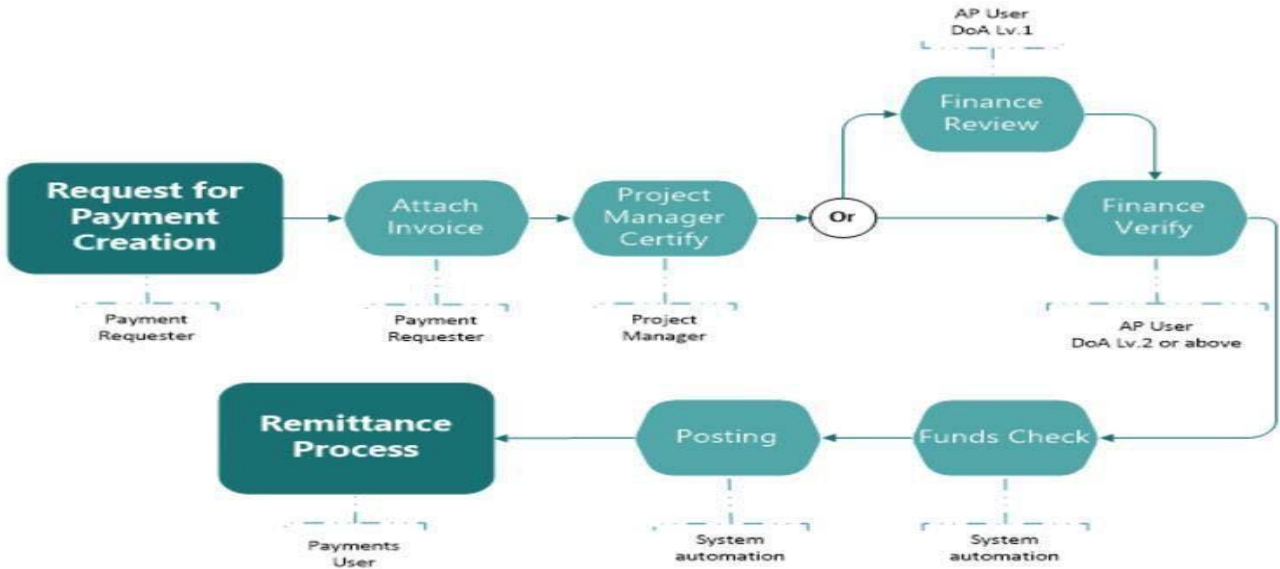
- a) Confirmation on receipts of goods & services
- b) Invoice/Delivery Order
- c) Copy of the contract
- d) Receipt and Inspection Report (if applicable)
- e) Copy of PO

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 6: 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 7: Request for payment in oneUNOPS

**Supplier invoice information**

Supplier	<span style="background-color: blue; color: white;">[REDACTED]</span>	Supplier ID	151966
Invoice number	TEC-21-67	Total invoice amount	125.00
Transaction number	620549991	To be approved	125.00
Invoice date	31/05/2021	Currency	USD
Due date	31/05/2021	USD Amount	125.00
Disc.date		Pay method	E1
Contract			

Pay recipient: 151966-10

Bank name	United Nations FCU	Bank account	1030705710001
IBAN		SWIFT	
Clearing code	226078609	Pay recipient currency	USD

**Workflow log (row 1)**

- 31/05/2021 09:21 Mohammed Abdulrahim Ismaeel Ismaeel (107826) - Distributed
- 31/05/2021 10:20 Mohammed Abdulrahim Ismaeel Ismaeel (107826) - Task complete
- 31/05/2021 10:23 Muhammad Usman Akram (148430) - Acknowledge
- 31/05/2021 10:54 Tamara Nidhal AlRamlı (93520) - Approved
- 31/05/2021 10:54 FundsCheck Result
- 31/05/2021 10:54 Donate and installments (ACRIMTELLAGE) - Distributed - "Automation"

**Image**

Date	Attachment No.	DESCRIPTION	Currency	Amount	% to be paid by Finance	Approved USD Amount
May 2021		Search card for cell phone and Not Payment	USD	6500	100	6 45 00



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 2: 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 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 partners will conduct the full procurement process. The local implementing partners 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 partners and the supporting documents will need to be certified by the Programme Manager.

**Indirect payments (advance):** Local implementing partners to submit cash forecasts on a quarterly basis. UNOPS will advance the needed cash requirements to the bank account of local implementing partners after review. The local implementing partners 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 partners will be required to open a designated bank account for the project. In addition, as part of the reporting package, the local implementing partners 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 3-4 national procurement experts to carry out day-to-day implementation of procurement activities. Procurement decision authority is vested with the country-based program manager. 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 Procurement Committee 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 CPC 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 on the basis of 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.

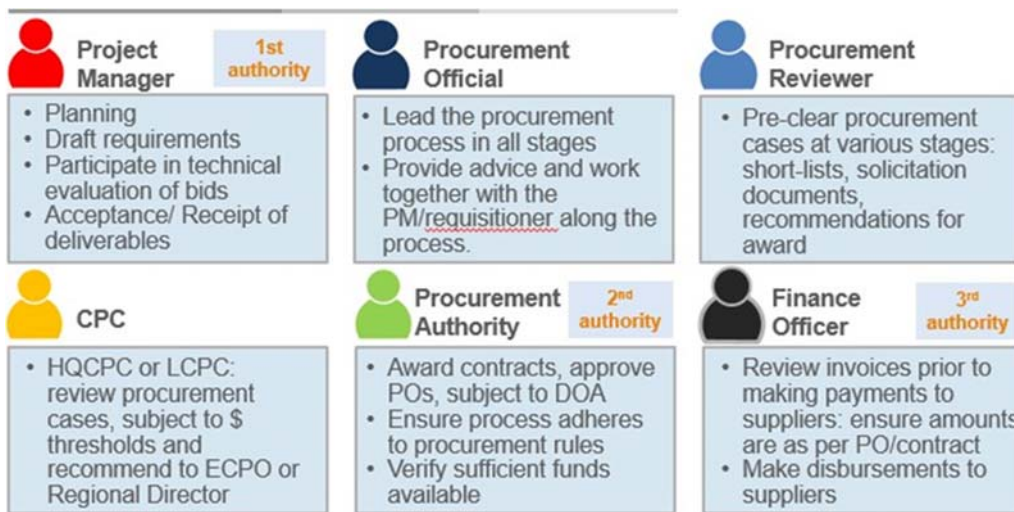




**ROLES AND RESPONSIBILITIES**

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 8: 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, and Local Newspaper (when needed) for the aim of attracting more local suppliers.

**Figure 9: UNOPS eSourcing interface page**



## SUPPLIER REGISTRATION AND ELIGIBILITY

UNOPS contracts shall only be awarded to vendors that are registered with the United Nations Global Marketplace (UNGM), except for processes under advisory services projects where UNOPS does not sign the contract with the vendor. Furthermore, for procurement processes carried out through the UNOPS eSourcing system, it is mandatory for vendors to register in UNGM ([www.ungm.org](http://www.ungm.org)) to access the full tender details, request clarifications and submit an offer more details are included in the Procurement Manual.

## PROCUREMENT STRATEGY AND PLANNING

Developing a strategic approach to procurement is a key element for successful acquisition of goods, services and works and necessary for timely implementation of projects or operations. Procurement planning for an individual procurement activity includes setting up the timelines required to perform each step of the procurement process per the identified solicitation method, contract type and type of competition.

### Figure 10: Procurement planning and monitoring



	Package/ Reference No.	Description of Goods/ Works	City	Goods / Work s/NCS	Stat us	Est imate d Cos t(\$ )	Date of Estimate	Revi ew by UNO PS (Prio r/ Post )	Soli cita tio n Me tho d	Pre-qualification		Tendering								Contracting				
										No Objection from UNOPS for Draft Prequalifi cation document s (Date)**	No Objection from UNOPS for Evaluati on of Prequalif ication Applicati on (Date)**	Prep arati on of Bid Docu ment (Dat e)	UNOPS 's No Obje ction to Bid Docu ment (Date)*	Bid Invit ation (Date )	Bid Closi ng (Dat e)	Bid Openi ng (Date)	Contra ct Award Decisi on (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 3: 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 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 comprised 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 partners, the Third Party Monitoring (TPM) agent will review the implementation of procurement activities as per the agreed upon procedures, and report on any deviation. Given that project activities will be implemented with the local implementing partners as per the respective agreement between UNOPS and the local implementing entity. For procurements to be conducted by the local implementing partners, each entity will follow the proposed APA arrangements that are spelled out in the bilateral legal agreements.

In general, prior to commencing their procurement processes, the local implementing partners will prepare the technical specifications which will be reviewed and agreed with UNOPS. Following the



completion of the bidding process and technical review, the local implementing partners will share the full procurement package with UNOPS for review and no objection before awarding the contract. The supervision of installation of equipment or construction/ works contracts will be done by the implementing entity with additional monitoring for quality assurance by UNOPS.

Once the goods are received/ construction is completed, the local implementing partner 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.

#### **MAINSTREAMING GENDER IN PROCUREMENT**

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

- a) Identify Women Owned Business in Yemen that UNOPS can work with in the cities engaged under the project
- b) Identify and reserve some procurement of small-medium financial value for Women Owned Businesses in accordance with the results framework; 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 in the cities engaged under the project, 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 5% 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 organise and run periodic capacity building sessions with its

- a) Contractors/Suppliers on UNOPS procurement guidelines, requirements, esourcing, registration in UNGM
- b) 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 Programme Manager, and Finance, Procurement, and Security Officer posts. The ICA modality is a non-staff, flexible personnel contract which 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 11: 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 oneUNOPS system, the PM can view the project’s performance and risk profile – see figure.

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 12: 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 4: Monitoring risk levels and proximity

<b>4. High</b>	<b>AVERSE:</b> 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
<b>3. Medium to High</b>	<b>CAUTIOUS:</b> Recommended response and approval of assigned risk owner		
<b>2. Low to Medium</b>	<b>COMFORTABLE:</b> Optional response	Quarterly monitoring and review during QA	Monthly monitoring and review
<b>1. Low</b>	<b>INCLINE</b> Optional response Quarterly review during QA	Quarterly monitoring and review during QA	Quarterly monitoring and review during QA
<b>Opportunity</b>	<b>INCLINE</b> Optional	Quarterly monitoring	Monthly monitoring



<b>RISK PROXIMITY</b>		<i>response Quarterly review during QA</i>	and review during QA		ring and review	
			<b>F a r</b>	<b>Midd le</b>	<b>Clos e</b>	<b>Immin ent</b>

## RESULTS MONITORING AND EVALUATION

### 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 programme 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 partners in conducting M&E activities (data collection and verification) in line with the Results Framework of the project. Programme 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 agency (TPM). The TPM will be contracted and supervised by UNOPS while operating independently in verifying the results of identified sub-projects and Project's activities. The key Objective of the TPM will be to undertake independent results verification of subprojects and identified activities funded under the Project to report on 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 TPM will be as follows:

- a) Verification during subproject implementation that individual sub-projects meet quality and technical standards to achieve desired results;
- b) Verification of existence of sub-projects' deliverables and final results at the time of completion to confirm the restoration of services for the intended beneficiaries;
- c) Identification and immediate reporting of any irregularities or red flags to UNOPS for action while carrying out its responsibilities;
- d) 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 TPM. Locations and minimum number of site verification visits, to be conducted by the TPM 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 that would include (i) review and analysis of the procurement plans and subprojects' documents as well as (ii) reporting on the status of tender processes, implementation, and their due dates. The Preparatory Work Phase shall include but not be limited to check all baseline data, review and familiarization with all technical documents of sub- projects, design the monthly reporting format, review and verify



the ESMP, plan monitoring visits ahead, prepare schedules etc. All deliverables under the Preparatory Work Phase shall be approved by UNOPS and WB before activities can start.

**b) Physical verification of deliverables and results, including:**

- physical verification and spot check on site for the rehabilitation and construction works, at least once every month of each subproject life, reporting on timely progress and quality of the deliverables as per technical requirements and standards of the approved contracts;
- physical verification at the moment of completion of subprojects;
- delivering surveys of beneficiaries' satisfaction (disaggregated by gender) upon the completion and the handover of subprojects. Such verification shall be supplemented by the feedback from the communities, including youth, women and other marginalized groups, on the satisfaction with the relevant services. Physical verification shall include taking date stamped digital record photographs where appropriate for each location and;
- verification on performance and effectiveness with regard to capacity building and training; and
- verification on the supply of equipment with regard to specifications, quality, operation performance, and after sale services.

**c) Verification of Community Engagement** when applicable, confirmation that the grievance redress mechanism (GRM) provisions and procedures set out in the Project's relevant documents have been satisfied.

**d) Verification of Safeguards Compliance** includes verification of conformity with safeguards requirements during implementation of subprojects and compliance check with all environmental and social safeguards requirements per subproject's relevant documents.

- **Phase 1** includes compliance check with the environmental and social safeguards requirements per Project documents (PAD; ESMP; RAP; other) in regard to the subprojects preparation/design and existence of these requirements in the bid and contract documents or other related implementation arrangements
- **Phase 2** includes verification of conformity with safeguards' requirements during implementation of subprojects; and compliance check with all environmental and social safeguards requirements per the Project documents (PAD; ESMP; RAP; other)



- e) **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 TPM, under UNOPS' supervision, to verify that these procedures/systems are in operation and are being implemented by the Local Partners to satisfactory standards. In the event that UNOPS determines that the TPM should perform this function, the TPM 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 technical and financial progress reports on the project activities every six months in accordance with the agreed template proposed by the WB and accepted by UNOPS. The technical report 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

In addition, UNOPS will submit the Certified Final Financial Statement after 6 months of the end of the agreement.

As part of the reporting process, UNOPS will provide updated GIS maps of the project areas to help monitor progress towards infrastructure-related activities. Furthermore, the local partners will prepare quarterly progress reports, which will be reviewed by UNOPS and can be shared with the World Bank upon request.

TPM will provide regular reports to UNOPS, each of which 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 and UNOPS will agree on performance indicators to be included in the work/monitoring plan. Adjustments may occur over the course of the contract and would need to be agreed upon with UNOPS. Following reports will be submitted:

- a) Quarterly progress reports. The TPM will prepare quarterly reports according to the agreed schedule and reporting format, and submit to UNOPS within 15 days of the end of the reporting period.
- b) Annual reports. The TPM 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.
- c) 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.

## **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/SG, 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 13: 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 capacity of existing GBV service providers in project areas.** The UNOPS Yemen GBV officer will assess the capacity and quality of GBV/SEA service providers in project areas with the objective of establishing effective referral pathways for survivors. The 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 partners 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 project implementing partners (IPs)**

- **Sensitization and training of implementing partner (IP) staff on expectations around SEA/SH.** UNOPS will conduct training sessions on SEA/SH for the staff of the three Implementing Partners; the Public Works Project (PWP), the Road Maintenance Fund Implementation Unit (RMF-IU), and the Urban Water Project Management Unit (UW-PMU). With support from UNOPS, as required, the IPs will subsequently ensure that their 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 three project implementing partners will be supported to develop SEA/SH misconduct response systems which will apply under YIUSEP II implementation, and which will ensure organizational responses for misconduct of any worker of the IPs. 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 YIUSEP II.

### **ADDRESSING SEA/SH RISKS**



### **Task 2.1 Establishment of SEA/SH channels and procedures for the Grievance Redress Mechanism**

- YIUSEP II will have a GRM 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 GRM.
- The GRM 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 GRM services at the community level to create SEA/SH awareness and enable project-affected people to file complaints.
- The GRM Operator(s) 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 the three IPs will ensure that a PSEA/SH focal point is designated for all sub-projects. The PSEA/SH Focal points will be the designated person to adequately refer SEA/SH complaints, if received directly and outside of the GRM. 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 GRM, PSEA focal points, or through the grievance mechanisms of any other humanitarian agency. The project GRM 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 GRM, the GRM Operator 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 GRM Operator 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 GRM 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 (IP) 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 GRM 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 an IP or contractor, 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 IP or contractor 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 IPs 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 11). 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 11)
- A survivor has the right to make an informed choice of services. GRM, 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 counselling 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
- Access to Justice
- 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 IPs/contractors should they occur.
- The GRM 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 IPs and contractors will be closely coordinated with UNOPS, due to the presumed low capacity of these partners 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 GRM.
- All implementers of YIUSEP II 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, IP staff, PSEA Focal points and GRM 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 ACTION PLAN**

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

The TPM contracted for YIUSEP II 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 respective IP or contractor and jointly develop a corrective action plan. Serious cases can lead to the termination of contract with the contractor.

UNOPS will monitor the SEA/SH sessions for IPs 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 IPs and selected contractors to cover all target urban cities. The information gathered will be monitored and reported to the World Bank on a quarterly basis.

### ***GRIEVANCE REDRESS MECHANISM (GRM)***

UNOPS will establish and manage a Grievance Redress Mechanism (GRM) to enable beneficiaries to communicate their concerns regarding the Project. More specifically, the GRM 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 GRM 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. Each of the three Implementing Partners will designate a GRM focal point.

## **PROCEDURES FOR COMPLAINTS**

### ***REGISTERING COMPLAINTS***

UNOPS will provide multiple access points to the UNOPS GRM 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. 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 Partners 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 12. 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 GRM 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 GRM 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 GRM 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 include the log of complaints to the World Bank as part of UNOPS quarterly reporting to the World Bank.

### ***ACTIVATING THE GRM MECHANISM***

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

### ***GRIEVANCE REDRESS SERVICE***

<http://pubdocs.worldbank.org/en/440501429013195875/GRS-2015-BrochureDec.pdf>

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](mailto: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 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.) 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 Solid Waste Management

Sn	Item to be provided	Yes	No
1.	<p><b>1. Sub-Projects Description</b></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 Type of Equipment Used)</p> <p>1.1.2.3 Description for subproject Surrounding Area adjacent to work.</p> <p>1.2 Environmental and Social Baseline</p> <p>2.3.1. Climate and weather</p> <p>2.3.2. Waste Generation Baseline Data/Information</p> <p>2.3.3. Waste Generation (Baseline, Target, Difference)</p> <p>2.3.4. Current Situation (for each Targeted Cleaning Location with photos)</p> <p>2.3.5. Targeted sub-project beneficiaries</p> <p>1.3 Solid waste Description:</p> <p>General Description of Activity</p> <p>General Requirements</p> <p>Equipment Needed</p> <p>Duration of Activity</p> <p>Waste treatment (if any)</p> <p>Details of Specific facilities, inspections, (if any)</p> <p>Training Program</p> <p>Danger Labels and Signage</p> <p>1.4 Location</p> <p>Map shows the Location of Targeted Solid Waste Campaign in the city(General)</p> <p>Map shows the Location of Targeted Streets/Zones (specific)</p> <p>Map shows the Location of Transfer station/Landfills (specific)</p> <p>Street/Road Names</p> <p>Location Coordinates</p> <p>Table waste zones and estimated Quantity in m3</p> <p>City/ District</p> <p><b>2. Consultation (the following shall be included)</b></p> <p>2.1 Men Consultation Questionnaires</p> <p>2.2 Women Consultation Questionnaires</p> <p>2.3 Focused Group Discussion with Women Consultation</p>		



	<p>2.4 Focused Group Discussion with Men Consultation</p> <p>2.5 Focused Group Discussion Record/signatures (with men/Women)</p> <p>2.6 Public Consultation Findings and feedback</p> <p>2.7 Public Consultation Photos photographs (include)</p> <ul style="list-style-type: none"> <li>● Women Consultation photographs (subtitled with date and location)</li> <li>● Men Consultation photographs (subtitled with date and location)</li> <li>● Men Focused Group Discussion (subtitled with date and location)</li> <li>● Women Focused Group Discussion (subtitled with date and location)</li> </ul> <p><b>3. Environmental and Social Screening</b></p> <p>3.1 Applicability</p> <p>3.2 Eligibility (Negative List)</p> <p>3.3 Environmental and Social Screening Form</p> <p>3.4 The Risk Level and Mitigation Instruments</p> <p><b>4. Environmental and Social Clauses for Contractor</b></p> <p>Annex 1: GRM 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: Information Required for Neighborhood Sanitation Activities

Sn	Item to be provided	Yes	No
1.	<p><b>5. Sub-Projects Description</b></p> <p><b>5.1 Nature and Scope of Activities</b></p> <p>5.1.1 Nature of Sup-Project</p> <p>5.1.2 Scope of work</p> <p>5.1.2.1 Type of Activities</p> <p>5.1.2.2 Type of Equipment Used)</p> <p>5.1.2.3 Description for subproject Surrounding Area adjacent to work.</p> <p>5.2 Environmental and Social Baseline</p> <p>2.3.1. Climate and weather</p> <p>2.3.2. Water Production (Baseline, Target, Difference)</p> <p>2.3.3. Wells Baseline Data/Information</p> <p>2.3.4. Current Situation (for each Facility with photos)</p> <p>2.3.5. Targeted sub-project beneficiaries</p> <p>5.3 Design Requirements and Guideline:</p> <p><b>Sub-Project Execution/ General Requirements</b></p> <p><b>Water treatment units (if any)</b></p> <p><b>Details of Related facilities, and spare parts (if any)</b></p> <p><b>TECHNICAL SUPPORT</b></p> <p><b>Commissioning</b></p> <p><b>Final Completion</b></p> <p><b>Training Program</b></p> <p><b>Guarantee /Warranty and After Sale services</b></p> <p><b>Danger Labels and Signage</b></p> <p>5.4 Location</p> <p><b>Map shows the Location of Targeted UWS in the city(General)</b></p>		



	<p><b>Map shows the Location of Targeted UWS (specific)</b></p> <p><b>Facilities Names</b></p> <p><b>Location Coordinates</b></p> <p><b>City/ District</b></p> <p><b>3. Consultation (the following shall be included)</b></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"> <li>● <b>Women</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Focused Group Discussion (subtitled with date and location)</li> <li>● <b>Women</b> Focused Group Discussion (subtitled with date and location).</li> </ul> <p><b>4. Environmental and Social Screening</b></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><b>5. Environmental and Social Clauses for Contractor</b></p> <p>Annex 1: GRM 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 3: Information Required for Rainwater Drainage

Sn	Item to be provided	Yes	No
1.	<p><b>6. Sub-Projects Description</b></p> <p><b>6.1 Nature and Scope of Activities</b></p> <p>6.1.1 Nature of Sup-Project</p> <p>6.1.2 Scope of work</p> <p>6.1.2.1 Type of Activities</p> <p>6.1.2.2 Table shows Sections in each Targeted street (names, Length, width, etc.)</p> <p>6.1.2.3 Description for subproject Surrounding Area adjacent to road/rainwater drainage work.</p> <p>6.2 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>6.3 Design Requirements and Guideline:</p> <p><b>Sub-Project Execution</b></p> <p><b>Earth Work</b></p> <p><b>Asphalt Work</b></p> <p><b>Commissioning</b></p> <p><b>Final Completion</b></p> <p><b>Training Program</b></p> <p><b>Warranty and After Sale services</b></p> <p><b>Danger Labels and Signage</b></p> <p>6.4 Location</p> <p><b>Map shows the Targeted Locations of Roads rainwater drainage in the city(General)</b></p> <p><b>Map shows the Locations of rainwater drainage of Targeted Road(specific)</b></p>		



	<p><b>Road Names</b></p> <p><b>Location Coordinates</b></p> <p><b>City/ District</b></p> <p><b>3. Consultation (the following shall be included)</b></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"> <li>● <b>Women</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Focused Group Discussion (subtitled with date and location)</li> <li>● <b>Women</b> Focused Group Discussion (subtitled with date and location)</li> </ul> <p><b>4. Environmental and Social Screening</b></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><b>5. Environmental and Social Clauses for Contractor</b></p> <p>Annex 1: GRM 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 4: Information Required for Stone Paving of Neighborhood Streets

Sn	Item to be provided	Yes	No
1.	<p><b>1. Sub-Projects Description</b></p> <p><b>1.1 Nature and Scope of Activities</b></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 Type of Equipment Used)</p> <p>1.1.2.3 Description for subproject Surrounding Area adjacent to 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>2.3.4. Current Situation (for each Targeted Location Description with photos)</p> <p>2.3.5. Targeted sub-project beneficiaries</p> <p>1.3 Location</p> <p><b>Map shows the Location of Targeted Streets in the city(General)</b></p> <p><b>Map shows the Location of Targeted locations (specific)</b></p> <p><b>Table shows:</b></p> <ul style="list-style-type: none"> <li>○ <b>Street Names</b></li> <li>○ <b>Location Coordinates</b></li> <li>○ <b>District/City</b></li> </ul> <p><b>2. Consultation (the following shall be included)</b></p> <p>2.1 Men Consultation Questionnaires</p> <p>2.2 Women Consultation Questionnaires</p> <p>2.3 Focused Group Discussion with Women Consultation</p> <p>2.4 Focused Group Discussion with Men Consultation</p> <p>2.5 Focused Group Discussion Record/signatures (with Men/Women)</p> <p>2.6 Public Consultation Findings and feedback</p> <p>2.7 Public Consultation Photos photographs (include)</p>		



	<ul style="list-style-type: none"> <li>● <b>Women</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Focused Group Discussion (subtitled with date and location)</li> <li>● <b>Women</b> Focused Group Discussion (subtitled with date and location)</li> </ul> <p><b>3. Environmental and Social Screening</b></p> <p>3.1 Applicability</p> <p>3.2 Eligibility (Negative List)</p> <p>3.3 Environmental and Social Screening Form</p> <p>3.4 The Risk Level and Mitigation Instruments</p> <p><b>4. Environmental and Social Clauses for Contractor</b></p> <p>Annex 1: GRM 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 5: Information Required for Rehabilitation of Local Parks and Green Spaces

Sn	Item to be provided	Yes	No
1.	<p><b>5. Sub-Projects Description</b></p> <p><b>5.1 Nature and Scope of Activities</b></p> <p>5.1.1 Nature of Sup-Project</p> <p>5.1.2 Scope of work</p> <p>5.1.2.1 Type of Activities</p> <p>5.1.2.2 Type of Equipment Used)</p> <p>5.1.2.3 Description for subproject Surrounding Area adjacent to work.</p> <p>5.2 Environmental and Social Baseline</p> <p>2.3.1. Climate and weather</p> <p>2.3.2. Air Quality and Noise</p> <p>2.3.4. Current Situation (for each Targeted Location Description with photos)</p> <p>2.3.5. Targeted sub-project beneficiaries</p> <p>5.3 General Playground Considerations:</p> <p><b>2.3.1 Selecting The Site General Requirements</b></p> <p><b>2.3.2 Shading considerations      Duration of Activity</b></p> <p><b>2.3.3 Playground Layout</b></p> <p><b>2.3.4 Selecting Equipment</b></p> <p><b>2.3.1 Equipment not recommended</b></p> <p><b>2.3.2 Surfacing</b></p> <p><b>2.3.3 Equipment Materials</b></p> <p><b>2.3.4 Assembly and Installation</b></p> <p>5.4 Specific Playground Design Considerations for each equipment:</p> <p>5.5 Playground Hazards To Be Avoided</p>		



	<p><b>2.5.1 Crush and Shearing Points</b></p> <p><b>2.5.2 Entanglement and Impalement</b></p> <p><b>2.5.3 Entrapment</b></p> <p><b>2.5.4 Suspended Hazards</b></p> <p><b>2.5.5 Sharp Points, Corners, and Edges</b></p> <p><b>2.5.6 Tripping Hazards</b></p> <p><b>2.5.7 Used Tires</b></p> <p><b>2.5.7 Fire Hazards</b></p> <p><b>2.5.7 Electricity Hazards</b></p> <p>5.6 Location</p> <p><b>Map shows the Location of Targeted Gardens in the city(General)</b></p> <p><b>Map shows the Location of Targeted locations (specific)</b></p> <p><b>Table shows:</b></p> <ul style="list-style-type: none"> <li>○ <b>Garden Names</b></li> <li>○ <b>Location Coordinates</b></li> <li>○ <b>District/City</b></li> </ul> <p><b>6. Consultation (the following shall be included)</b></p> <p>6.1 Men Consultation Questionnaires</p> <p>6.2 Women Consultation Questionnaires</p> <p>6.3 Focused Group Discussion with Women Consultation</p> <p>6.4 Focused Group Discussion with Men Consultation</p> <p>6.5 Focused Group Discussion Record/signatures (with Men/Women)</p> <p>6.6 Public Consultation Findings and feedback</p> <p>6.7 Public Consultation Photos photographs (include)</p> <ul style="list-style-type: none"> <li>● <b>Women Consultation photographs (subtitled with date and location)</b></li> </ul>		
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	<ul style="list-style-type: none"> <li>● <b>Men</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Focused Group Discussion (subtitled with date and location)</li> <li>● <b>Women</b> Focused Group Discussion (subtitled with date and location)</li> </ul> <p><b>7.</b> Environmental and Social Screening</p> <p>7.1 Applicability</p> <p>7.2 Eligibility (Negative List)</p> <p>7.3 Environmental and Social Screening Form</p> <p>7.4 The Risk Level and Mitigation Instruments</p> <p><b>8.</b> Environmental and Social Clauses for Contractor</p> <p>Annex 1: GRM 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 6: Information required for Urban Water and Sanitation

Sn	Item to be provided	Yes	No
1.	<p><b>1. Sub-Projects Description</b></p> <p><b>1.1 Nature and Scope of Activities</b></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 Type of Equipment Used)</p> <p>    1.1.2.3 Description for subproject Surrounding Area adjacent to work.</p> <p>1.2 Environmental and Social Baseline</p> <p>    2.3.1. Climate and weather</p> <p>    2.3.2. Water Production (Baseline, Target, Difference)</p> <p>    2.3.3. Wells Baseline Data/Information</p> <p>    2.3.4. Current Situation (for each Facility with photos)</p> <p>    2.3.5. Targeted sub-project beneficiaries</p> <p>1.3 Design Requirements and Guideline:</p> <p><b>Sub-Project Execution/ General Requirements</b></p> <p>    <b>Diesel Engine specifications</b></p> <p>    <b>Pumps specifications</b></p> <p>    <b>Water treatment units (if any)</b></p> <p>    <b>Details of Related facilities, and spare parts (if any)</b></p> <p><b>TECHNICAL SUPPORT</b></p> <p>    <b>Commissioning</b></p> <p>    <b>Final Completion</b></p> <p>    <b>Training Program</b></p> <p>    <b>Guarantee /Warranty and After Sale services</b></p> <p>    <b>Danger Labels and Signage</b></p>		



<p><b>Location</b></p> <p><b>Map shows the Location of Targeted UWS in the city(General)</b></p> <p><b>Map shows the Location of Targeted UWS (specific)</b></p> <p><b>Facilities Names</b></p> <p><b>Location Coordinates</b></p> <p><b>City/ District</b></p> <p><b>2. Consultation (the following shall be included)</b></p> <p>3.2 Men Consultation Questionnaires</p> <p>3.3 Women Consultation Questionnaires</p> <p>3.4 Focused Group Discussion with Women Consultation</p> <p>3 Focused Group Discussion with Men Consultation</p> <p>3.4 Focused Group Discussion Record/signatures (with Men/Women)</p> <p>3.5 Public Consultation Findings and feedback</p> <p>3.6 Public Consultation Photos photographs (include)</p> <ul style="list-style-type: none"> <li>● <b>Women</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Focused Group Discussion (subtitled with date and location)</li> <li>● <b>Women</b> Focused Group Discussion (subtitled with date and location)</li> </ul> <p><b>4. Environmental and Social Screening</b></p> <p>4.3 Applicability</p> <p>4.4 Eligibility (Negative List)</p> <p>4.5 Environmental and Social Screening Form</p> <p>4.6 The Risk Level and Mitigation Instruments</p> <p><b>5. Environmental and Social Clauses for Contractor</b></p> <p>Annex 1: GRM 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 7: Information required for Urban Roads

Sn	Item to be provided	Yes	No
1.	<p><b>1. Sub-Projects Description</b></p> <p><b>1.1 Nature and Scope of Activities</b></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><b>Sub-Project Execution</b></p> <p><b>Earth Work</b></p> <p><b>Asphalt Work</b></p> <p><b>Commissioning</b></p> <p><b>Final Completion</b></p> <p><b>Training Program</b></p> <p><b>Warranty and After Sale services</b></p> <p><b>Danger Labels and Signage</b></p> <p>1.4 Location</p> <p><b>Map shows the Location of Targeted Roads in the city(General)</b></p> <p><b>Map shows the Location of Targeted Road(specific)</b></p>		





	<p><b>Road Names</b></p> <p><b>Location Coordinates</b></p> <p><b>City/ District</b></p> <p><b>3. Consultation (the following shall be included)</b></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"> <li>● <b>Women</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Focused Group Discussion (subtitled with date and location)</li> <li>● <b>Women</b> Focused Group Discussion (subtitled with date and location)</li> </ul> <p><b>4. Environmental and Social Screening</b></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><b>5. Environmental and Social Clauses for Contractor</b></p> <p>Annex 1: GRM 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 8: information required for Electricity for Critical Services

Sn	Item to be provided	Yes	No
1.	<p><b>6. Sub-Projects Description</b></p> <p><b>6.1 Nature and Scope of Activities</b></p> <p>6.1.1 Nature of Sup-Project</p> <p>6.1.2 Scope of work</p> <p><b>6.2 Design Requirements and Guideline:</b></p> <p><b>Sub-Project Execution</b></p> <p><b>Structural Work</b></p> <p><b>Electrical Work</b></p> <p><b>Ventilation System</b></p> <p><b>Construction</b></p> <p><b>Commissioning</b></p> <ul style="list-style-type: none"> <li>- <b>Module testing should include the following:</b></li> <li>- <b>Inverter and Charge Controller</b></li> </ul> <p><b>Final Completion</b></p> <p><b>Training Program</b></p> <p><b>System Warranty and After Sale services</b></p> <p>6.2.1 Technical Specifications</p> <p><b>PV Modules</b></p> <p><b>Mounting Structure/Support Structure</b></p> <p style="padding-left: 40px;"><b>Roof Mounting Structure</b></p> <p><b>Solar Inverter/ Charger</b></p> <p><b>Storage Battery(s)</b></p>		



<p><b>Charge Controller</b></p> <p><b>DC Junction Box</b></p> <p><b>Data Logging and Monitoring System</b></p> <p><b>Cables and Wires</b></p> <p style="padding-left: 40px;"><b>DC Cable</b></p> <p style="padding-left: 40px;"><b><i>AC Cable</i></b></p> <p><b>Battery Box</b></p> <p><b>Distribution enclosure with MCB breakers</b></p> <p><b>System Accessories</b></p> <p><b>LED Light</b></p> <p style="padding-left: 40px;"><b>LED Bulb</b></p> <p><b>LED Outdoor Light</b></p> <p style="padding-left: 40px;">Air Conditioning</p> <p><b>Ventilation System</b></p> <p><b>Fire Extinguisher</b></p> <p><b>Fire Alarm</b></p> <p><b>Earthing and Lightning System</b></p> <p><b>Danger Labels and Signage</b></p> <p>6.2.2 Targeted Facilities Beneficiaries(males/Females)</p> <p>6.2.3 Location</p> <p><b>Map shows the Location of Targeted Facilities</b></p> <p><b>Facility Name</b></p> <p><b>Location Coordinates</b></p>		
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	<p><b>City</b></p> <p><b>District</b></p> <p><b>ROOFTOP Floor Plan Details (Pv System)</b></p> <p><b>Electrical Layouts, drawings and photos of each targeted facility</b></p> <p><b>3. Consultation (the following shall be included)</b></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"> <li>● <b>Women</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Consultation photographs (subtitled with date and location)</li> <li>● <b>Men</b> Focused Group Discussion (subtitled with date and location)</li> <li>● <b>Women</b> Focused Group Discussion (subtitled with date and location)</li> </ul> <p><b>4. Environmental and Social Screening</b></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><b>5. Environmental and Social Clauses for Contractor</b></p>		
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## ANNEX 9: UNOPS Grievance Redress Mechanism, Complaints Management Review Process

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



**ANNEX 10: GRM 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 11: Safeguard 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 Partners 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/dams/CDD, energy, Water and sanitation, Public Parks, Solid Waste)
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? E.g, 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? E.g, 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? Is 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? \_\_\_\_\_

**YISUEP UNOPS/IP/Contractor Grievance Redress Mechanism (GRM) .**

44. Do You know about Grievance Mechanism? If yes, how?
45. Do you raise your complaints about the project to the Authorities? contractor GRM 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 Redress Mechanism (GRM) transparent, understandable, and accessible to all segments of affected people?
48. Was the (GRM) 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 Redress 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 extent 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 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 archaeological 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 occurs 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 for urban water and sanitation subprojects**

96. Has it been ensured that sanitation infrastructure is sufficient for urban water projects?



97. Has it been ensured that safe final disposal of effluent from treatment ponds or reuse with extreme precaution to avoid direct contact with humans or animals?
98. Has training been provided for selected members of the community on health and hygiene education
99. Has proper utilization or disposal of effluent and sludge been ensured?
100. Have necessary actions for fighting vectors, such as spraying with insecticides, reclaiming stagnant pools, using nets on windows and beds been taken.

**Potential Impacts and matching mitigation measures for urban roads subprojects**

101. Have side slope been executed to prevent the accumulation of water on the road surface?
102. Have soils been revegetated?
103. Have ditches and culverts been cleaned and maintained periodically?
104. Have appropriate measures for compensation for the affected businesses been provided?

**Contractor’s Environmental and Social Obligations**

105. Does the contractor have CESMP? If not, why?
106. How many hours do labors work daily?
107. Was there any incident recorded? If Yes, please specify:
108. Major works: those undertaken and completed, progress against project schedule
109. noncompliance incidents with permits and national law
110. Training on E&S issues: including dates, number of trainees, and topics
111. 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.
112. Details of any security risks: details of risks the contractor may be exposed to while performing its work
113. Worker grievances: details including occurrence date, grievance, and date submitted; actions taken and dates;
114. Major changes to contractor’s environmental and social practices.

**Contractor’s Environmental and Social Liabilities**

115. Check subproject logbook (or through observation) if there is any noncompliance as listed in Bill of Quantities (BOQ).



## ANNEX 12: 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 of information	Project Focal Point, GRM 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 13: SEA/SH Action Plan Timeline

Activity	Year 1												Year 2											
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Development of SEA/SH Action Plan guidance and checklist for contractors	█	█																						
Development and printing of IEC material for local stakeholders on SEA/SH	█	█																						
Training of the three IPs on SEA/SH and supporting them in developing SEA misconduct response mechanisms		█	█										█	█										
3 pre-bid vendor conferences for all potential vendors and contractors (in Sana'a, Aden and Mukalla)		█	█	█																				
In-depth sessions (4 full day training sessions) for 10-12 high-value contractors on preparing & implementing SEA/SH action plans		█	█	█																				
SEA/SH sessions take place during kick-off meetings with each new contractor		█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█	█
Introduction of SEA/SH action plan requirement for high-value contracts (above 500.000 USD)		█	█	█	█	█	█	█	█	█	█	█												
Gradual introduction of SEA/SH action plan requirement for other contracts (below 500.000 USD)													█	█	█	█	█	█	█	█	█	█	█	█
SEA/SH awareness for local community actors (as part of stakeholder engagement activities)	█	█					█	█					█	█										
Training (and refresher) of GRM staff on GBV/SEA/SH and safe referrals	█						█						█						█					
Development of referral protocols and procedures (e.g. informed consent protocols) to enable access to services for survivors	█	█																						





**ANNEX14: 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
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Signature \_\_\_\_\_ Date: \_\_\_\_\_

Signed (Filer of Complaint): \_\_\_\_\_

Name of Person Filing Complaint: \_\_\_\_\_ (i  
 f 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?  
 investigation:

Yes

No Findings of field

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:

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Signed (Conciliator): \_\_\_\_\_

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Signed (Filer):

Signed: \_\_\_\_\_ Independent Observer

Date: \_\_\_\_\_