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**Sustainable Fishery Development in Red Sea and Gulf of  
Aden (SFISH)  
(P178143)  
Environmental and Social Management Framework  
(ESMF)**

## Table of Contents

Acronyms .....	1
Executive Summary .....	1
1 Introduction.....	7
2 Project Description.....	7
2.1 Description of Baseline Environmental and Socioeconomic Conditions.....	14
3 Legal and Regulatory Framework.....	16
3.1 National Legislation, Policies and Regulations.....	16
3.1.1 National Environmental Action Plan.....	16
3.1.2 National Biodiversity Strategy and Action Plan.....	17
3.1.3 National Water Sector Strategy and Investment Program.....	17
3.1.4 Water Law .....	17
3.1.5 Environmental Protection Law.....	17
3.1.6 Labour Law .....	18
3.1.7 Summary of Yemen’s Law and International Ratification of International Convention regarding Women Employment and Gender Equality .....	19
3.1.8 PWP and SMEPS Operating Procedures .....	19
3.2 International Agreements and Protocols.....	19
3.3 UNDP’s Social and Environmental Standards .....	20
3.4 World Bank Requirements.....	21
4 Social and Environmental Impacts and Risks.....	24
4.1 Conflict.....	29
4.1.1 Activities That May Result in Conflict Risks .....	29
4.1.2 Management Measures .....	29
4.2 Gender and Social Inclusion.....	31
4.2.1 Activities That May Result in Gender and Social Inclusion Impacts or Risks .....	31
4.2.2 Management Measures .....	31
4.3 Biodiversity and Natural Resources.....	32
4.3.1 Activities That May Result in Biodiversity and Natural Resources Impacts or Risks .....	32
4.3.2 Management Measures .....	33
4.4 Climate Change .....	34
4.4.1 Activities That May Result in Climate Change Impacts and Risks .....	34

4.4.2	Management Measures .....	34
4.5	Community Health, Safety and Working Conditions (including OHS) .....	35
4.5.1	Activities That May Result in OHS and Community Health, Safety, Working Condition Impacts and Risks .....	35
4.5.2	Management Measures .....	36
4.6	Cultural Heritage .....	38
4.6.1	Activities That May Result in Cultural Heritage Impacts and Risks .....	38
4.6.2	Management Measures .....	39
4.7	Pollution Prevention and Resource Efficiency .....	39
4.7.1	Activities That May Result in Pollution and Resource Efficiency Impacts and Risks .....	39
4.7.2	Management Measures .....	40
5	Procedures to Address Social and Environmental Risks and Impacts .....	42
5.1	Sub-Project Screening and Classification Requirements.....	42
5.1.1	PWP Sub-projects .....	42
5.1.2	SMEPS Sub-projects.....	43
5.2	Site-Specific Assessment and Management Requirements.....	43
6	Institutional Arrangements and Capacity Building .....	44
6.1	General Management Structure and Responsibilities .....	44
6.1.1	World Bank.....	44
6.1.2	Project Board (Biannual Review Meetings) .....	44
6.1.3	UNDP .....	44
6.1.4	Responsible Parties.....	45
6.1.5	Third Party Monitors .....	46
6.2	Capacity Building and Training .....	47
7	Stakeholder Engagement and Information Disclosure .....	47
7.1	Principles for Meaningful, Effective and Informed Stakeholder Engagement.....	47
7.2	Information Disclosure.....	48
7.3	The (SFISH) Project Systems in Place for Stakeholder Engagement and Information Disclosure.....	49
7.4	Project-Level Grievance Redress Mechanism.....	50
7.5	UNDP Accountability Mechanism.....	52
8	Monitoring, Reporting and Evaluation of ESMF Implementation .....	52
8.1	Monitoring and Reporting Indicators:.....	53
8.2	Management Information System (MIS) .....	53
8.3	Sub-Project Self-Monitoring and Reporting.....	53

8.3.1	Social, environmental and OHS incident reporting.....	54
8.3.2	Daily and weekly inspection checklists .....	54
8.3.3	Corrective Actions.....	54
8.4	Sub-Project Third-Party Monitoring and Reporting .....	54
8.5	Monitoring Plan.....	54
9	Budget estimation to implement the ESMF .....	57
10	Annexes .....	58
	Annex 1. Yemen (SFISH) Project Revised SES Screening.....	58
	Social and Environmental Screening Template (2021 SESP Template, Version 1) .....	58
	Annex 2. Environmental and Social Management Plan - Indicative Outline .....	77
	Annex 3. Guidance for Submitting a Grievance .....	79
	Annex 4. OHS Framework and OHS Toolkit.....	85
	Annex 5. Stakeholder Engagement Plan .....	85
	Annex 6. Labour Management Procedure .....	85
	Annex 7. Environmental and Social Commitment Plan .....	85
	Annex 8 Gender and GBV Plan.....	85

## Acronyms

EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EPA	Yemen Public Environmental Protection Agency
EPL	Yemen Environmental Protection Law
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
GDP	Gross Domestic Product
GBV	Gender Based Violence
GIIP	Good International Industry Practice
GRM	Grievance Redress Mechanism
IDP	Internally Displaced Person
ILO	International Labour Organization
IPM/IVP	Integrated Pest Management / Integrated Vector Management
MAIF	The Ministry of Agriculture, Irrigation and Fisheries
MFI	Multilateral Finance Institution
MIS	Management Information System
NBSAP	National Biodiversity Strategy and Action Plan
NEAP	Yemen National Environmental Action Plan
NGO	Non-Governmental Organization
OHS	Occupational, Health and Safety
OP	World Bank Operational Policy
PAD	World Bank's Project Appraisal Document
PWP	Public Works Project
PERSGA	The Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden
Roy	Republic of Yemen
SRM	UNDP's Stakeholder Response Mechanism
SECU	UNDP's Social and Environmental Compliance Unit
SEA	Sexual Exploitation and Abuse
SES	UNDP's Social and Environmental Standards
SESP	UNDP's Social and Environmental Screening Procedure
SFD	Social Fund for Development
SFISH	Sustainable Fishery Development in Red Sea and Gulf of Aden
SME	Small-to-Medium Enterprise
SMED	Small-to-Medium Enterprise Development
SMEPS	Small and Micro Enterprise Promotion Service

<b>SWF</b>	Yemen Social Welfare Fund
<b>TPMA</b>	Third-Party Monitoring Agent
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>WHO</b>	World Health Organization
<b>YECRP/ECRP</b>	Yemen Emergency Response Project
<b>YSMQCO</b>	Yemen Standard Metrology Quality Control Organization

## Executive Summary

This Environmental and Social Management Framework (ESMF) is prepared by UNDP to ensure the Sustainable Fishery Development in Red Sea and Gulf of Aden (SFISH) project is consistent with UNDP's Social and Environmental Standards (SES) ([www.undp.org/ses](http://www.undp.org/ses)) and the World Bank's Environmental and Social Framework (ESF). The SES require that all UNDP projects consider the potential environmental and social opportunities that a project may generate and ensure that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed.

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

### **Description of the project (Section 2):**

The Development Objective of the Project is to strengthen regional fishery information management and improve capacity for sustainable production and economic opportunities for beneficiaries across the fishery value chain in Yemen.

The Red Sea and Gulf of Aden are globally known for the uniqueness of its coastal and marine biodiversity, and its economic, historical, and social values to the Middle East and North Africa region. Their ecosystems support a rich biological diversity with a high proportion of endemic species and therefore constituting number of UNESCO World Heritage Sites. The Red Sea has been identified as a potential climate refuge for coral reefs, because of the relatively higher resilience of its corals compared to other parts of the world and also supports extensive seagrass beds and mangroves, which are all important for the sustainability of fisheries. The Gulf of Aden has levels of biological productivity that are amongst the highest in the world. The flow of nutrient rich water from the Gulf of Aden into the Red Sea is largely responsible for higher productivity in the southern part of the Red Sea. Marine fishery, as a traditional economic activity, remains a main source of food and income for coastal communities in the region. However, declining and fluctuating trends are reported for several fish species, which are mainly linked to degradation of their essential coastal habitats and overfishing. Other significant issues such as habitat destruction, overexploitation of marine resources; navigation risks, threats of hydrocarbon/chemical spills and illegal disposal of pollutants by transiting vessels, pollution from urban, industrial and tourism hotspots, and the impacts of climate change to the long-term stability of these waters stem from the increase in the human population in the coastal areas and the rapid economic growth resulting in considerable pressure on the coastal and marine environments.

Managing fisheries these transboundary fishery resources in Red Sea and Gulf of Aden are critical to realize the opportunities to contribute to the participating countries' economies and to address challenges of reduced fish production and loss of markets in Yemen and inability to benefit from fishery resources economically and socially and related negative consequences on poor people that depend on them.

This proposed Project on Sustainable Fishery Development will (i) at the regional level, improve the fishery sector data/information collection and monitoring and the regional cooperation mechanism to sustainably managing this shared resource; (ii) in Yemen, improve the management of the fishery value chain, thus enhancing the country's food security, nutrition services, and coastal livelihoods; and (iii) Create the enabling environment for private sector engagement to develop the sector and sustaining the fishery related livelihoods of refugees residing in the country and their host communities. It will do so through the use of an integrated approach that combines: (i) support in strengthening the institutional capacity and data systems at the regional and country levels, fishermen (and their associations and cooperatives, private sector and other stakeholders); (ii) investments in restoration, key inputs and infrastructure for fish production, processing, quality assurance and marketing in participating countries; and (iii) a flexible design approach, able to adapt to the changing needs resulting from the ongoing conflict in Yemen and other risks in the region, as well as other regional countries to participate in the future.

An indicative structure of activities is presented below:

**Component 1: Strengthening regional collaboration in management of marine fisheries and aquaculture in the RSGA region**

**Component 2: Improving Economic Opportunities, Food Security and Effective Management of Fishery Production in Yemen**

**Component 3. Project Management, Monitoring and Evaluation and Reporting**

#### **Overview of the legal and regulatory framework (Section 3):**

Key national laws and regulations applicable to social and environmental risk management include the National Environmental Action Plan, National Biodiversity Strategy and Action Plan, Water Law, Environmental Protection Law, and Labour Law. In the context of the (SFISH) , [UNDP's Social and environmental Safeguards \(SESs\)](#) and the [World Bank's Environmental and Social Safeguards \(ESSs\) Framework](#) apply. In addition, the Responsible Parties ([Public Works Project](#) and [Small and Micro Enterprise Promotion Service](#)) have elaborated their own standard operating procedures, that were set up for the World Bank supported projects with the two institutions prior to the conflict, Environmental and Social Management Frameworks in 2014 and OHS Framework in 2018. Implementation of these procedures also help to ensure consistency with relevant international agreements and protocols.

#### **Overview of project activities and key social and environmental risks (Section 4):**

This section summarizes key social and environmental risks and indicative management measures for the project. The section describes the WB ESF and UNDP SES , requirements and national regulations. that have been triggered based on completion of the project-level Social and Environmental Screening Procedure.

The environmental risk is considered 'Substantial' given that the project will support interventions associated with construction activities as well as operation phase – such as of access roads and landing sites -, including dust emissions, noise, debris, and generation of solid and liquid waste - all

of which can result in air, water and social pollution if not adequately managed. This risk rating takes into consideration, amongst other things, the type and nature of its activities, the sensitivity of project areas in Yemen. Nonetheless, most of these impacts are expected to be site-specific, reversible, and generally of medium magnitude that can be mitigated following appropriate measures. Other potential significant risk include Occupational Health and Safety (OHS) incidents associated with implementation of civil works considering the experience under some previous projects in Yemen. There are other OHS risks during operation of the fishery value-chain, both at sea and onshore. Moreover, there are risk of injuries due to the potential explosion of a remnant of war (ERW) and more broadly to civil war activities. The project presents also a risk for overfishing if not well regulated.

The social risks associated with the project include elite capture and the exclusion of vulnerable or disadvantaged groups and individuals from project benefits, low to moderate risks associated with land acquisition and restriction of access, risks associated with labor conditions, such as child and forced labor, as well as community health and safety risks, including the risk of exposure to COVID-19. Moreover, the project may lead to conflicts resulting from unequal benefit-sharing from improved fisheries or sustainable resource management among members of coastal communities. Finally, the security risks associated with the project are high, the current conflict in Yemen and the fact that some beneficiaries will conduct activities at sea, with the risk of piracy. The project is not expected to lead to boundary dispute as it is not meant to go beyond the each country's national maritime borders. The project has been screened for risks associated with sexual abuse and exploitation and sexual harassment, with an overall risk rating of substantial. Even though the risks are expected to be localized and can be managed through the implementation of prevention and mitigation measures, security remains an important concern. Moreover, there remain uncertainties about the implementation arrangements for the microcredit to women, as well as the promotion of impact investment fund. For these reasons, social risks have been assessed as substantial.

The project has been screened for risks associated with sexual abuse and exploitation and sexual harassment, with an overall risk rating of substantial. As a result a Gender Action Plan (GAP) will be prepared.

#### **Procedures for screening (Section 5):**

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

described below. All Substantial risk projects will require an Environmental and Social Management plan to be prepared by the IPs, reviewed by UNDP and approved by the WB.

#### **Procedures for assessment and management (Section 5):**

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

#### **Institutional arrangements and capacity building (Section 6):**

The World Bank provides financing for the project and as such has an oversight role. The World Bank has established a senior management task team to oversee and make decisions about remedies in connection with the UNDP-implemented activities. The Project Board (UNDP, World Bank, PWP and SMEPS) has oversight and advisory authority, representing the highest body for coordination, strategic guidance, oversight and quality assurance. UNDP will be responsible for overseeing the implementation and compliance with the ESMF, working closely with PWP and SMEPS. UNDP will be responsible for the revision or updates of this document during the course of project, in consultation with PWP, SMEPS and the World Bank. During operations the Responsible Parties (SMEPS and PWP) will be accountable for implementation of the ESMF. The Responsible Parties are directly accountable to UNDP in accordance with their Letter of Agreement. Responsible Parties include headquarters offices, branch offices, site engineers, site supervisors, and workers that also play a role in implementation of the ESMF. A capacity development plan to ensure ongoing capacity development related to ESMF implementation will be developed and led by UNDP, working closely with PWP, SMEPS and the World Bank.

#### **Stakeholder engagement and information disclosure (Section 7):**

The (SFISH) and its Responsible Parties will ensure meaningful, effective and informed stakeholder engagement in the design and implementation of all sub-projects. Stakeholder engagement supports the development of strong, constructive, and responsive relationships that are critical for sound project design and implementation. Effective stakeholder engagement enhances project acceptance and ownership and strengthens the social and environmental sustainability and benefits of supported interventions. Information disclosure refers to the provision of timely, accessible information regarding the project and its potential social and environmental impacts to stakeholders in order to facilitate their meaningful, effective and informed participation in project design and implementation. Stakeholders require access to relevant project and sub-project information to understand potential project-related opportunities and risks and to engage in design and implementation. In addition to have access to general project information, stakeholders need access to screening reports, draft and final assessments and management plans. This

information is to be disclosed in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders.

A stakeholder engagement plan (SEP) for the Sustainable Fishery Development in Red Sea and Gulf of Aden (SFISH) Project has been developed. The SEP recognizes the importance of open and transparent engagement between the Recipient and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation. Stakeholder engagement is an inclusive process conducted throughout the project life cycle. Where properly designed and implemented, it supports the development of strong, constructive, and responsive relationships that are important for successful management of a project's environmental and social risks.

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

#### **Grievance Mechanism (Section 8):**

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

#### **Monitoring, reporting and evaluation (Section 9):**

The ESMF and its procedures are to be reviewed and updated on a regular basis by UNDP, PWP and SMEPS to reflect knowledge gained during the course of project delivery/construction. Both PWP and SMEPS have a Management Information System in place to record project information and monitor results. The MIS provides an important mechanism to track information on environmental and social safeguard implementation. A review will be conducted to identify opportunities to strengthen environmental and social safeguard elements in the MIS. UNDP will ensure that three responsible Parties maintain and keep all administrative and social and environmental records which would include a log of complaints and incidents together with records of any measures taken to mitigate the cause of the complaints or incidents. Any incidents, major injury or fatality, including non-conformance with the procedures of the ESMF, are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or significant social and/or environmental harm, the site supervisor/designated officer shall notify the Responsible Party Senior Management and the (SFISH) Project Manager as soon as possible and no later than 24 hours. UNDP will also ensure significant incidents are reported to the World Bank within 48 hours. The Responsible Party must cease work until remedies have been completed as per the approval of Project Manager. A daily social and environmental checklist (including OHS issues) is to be completed for active work sites with Substantial risks by the relevant site supervisor/designated officer and maintained within a register. A weekly social and environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the site supervisor or designated person. The progress of all corrective actions will be tracked using the register. In the case of potential occupational health and safety hazards, safe working systems and procedures will be developed and applied as well daily permit-to-work forms used to control and minimize risks to acceptable limits. Implementation of the ESMF to be included in overall project monitoring and reporting, including monitoring conducted by the TPMA.

# 1 Introduction

This Environmental and Social Management Framework (ESMF) is prepared by UNDP to ensure the **Sustainable Fishery Development in Red Sea and Gulf of Aden (SFISH) Project** is consistent with UNDP's Social and Environmental Standards (SES) ([www.undp.org/ses](http://www.undp.org/ses)) and the World Bank's Environmental and Social Safeguards Framework (ESF). The SES require that all UNDP projects consider the potential environmental and social opportunities that a project may generate and ensure that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed. In the context of the **Sustainable Fishery Development in Red Sea and Gulf of Aden (SFISH)**, UNDP's SES and the World Bank's Environmental and Social Safeguards Framework apply. In addition, the Responsible Parties ([Public Works Project](#), [and Small and Micro Enterprise Promotion Service](#)) have elaborated their own standard operating procedures, that were set up for the World Bank supported projects with the two institutions prior to the conflict, ESMFs in 2014, and Occupational Health and Safety Framework in 2018.

Because the details of proposed activities are designed at the sub-project level, an Environmental and Social Management Framework (ESMF) is necessary to ensure policies and procedures are in place for consistent safeguards implementation across all sub-projects, and as required by the World Bank Environmental and Social Framework (ESF).

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

The ESMF provides a strengthened framework and clarity to ensure consistency with the UNDP SES and World Bank Environmental and Social Safeguards Policies across all sub-projects. The ESMF was developed through a consultative process led by UNDP in close coordination with the World Bank, PWP and SFD.

The ESMF provides the following:

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

## 2 Project Description

Funded and supported by the World Bank's International Development Association (IDA), The Development Objective of the Project is to strengthen regional fishery information management and improve capacity for sustainable production and economic opportunities for beneficiaries across the fishery value chain in Yemen.

The SFISH Project is proposed as an Investment Project Finance (IPF) with the option for additional resources and countries based on the demand and readiness. The Project will include investments of goods, works, services for physical investments, operating costs and technical assistance. Most of the physical investments would be made at the national level, while technical assistance would be implemented at both the national and regional level.

The Project will achieve theory of change with an integrated approach that combines: (i) supports to strengthen institutional capacity and data systems of PERSGA at the regional level, MAIF in Yemen, (ii) investment in critical infrastructure related to fish production, processing, cold storage and marketing in participating countries ensuring disability mobility and energy efficiency related to infrastructure ; (iii) supports for the (refugee and host community) beneficiaries (micro and small enterprises of fishermen) in Yemen in terms of training and capacity development related to sustainable fishing practices and improving access to finance for to access critical inputs and upgrade fishing crafts and gears; (iv) a flexible design approach, which (a) adapts to the changing needs resulting from the ongoing conflict in Yemen and other risks in the region, (b) incorporates feedback from stakeholder engagement, and (c) creates opportunities for other countries in the region to participate in the future; and (v) reduce vulnerability of fisheries sector to climate change impacts. The Project also promotes improved governance and institutional capacity for sustainable growth of the fishery sector and regional integration. It takes the following assumptions which are external to the Project into consideration: (i) security in the region and countries will not deteriorate; (ii) inputs necessary for the project activities can be accessed by the countries and implementing agencies; (iii) local governments and communities support the Project; and (iv) COVID-19 restrictions will ease up.

1. **Component 1: Strengthening regional collaboration in management of marine fisheries and aquaculture in the RSGA region (approximately US\$3.5 million).** This component will aim to strengthen and sustain regional collaboration through further development of PERSGA's data center for monitoring, assessment, knowledge management and sharing to support science-based management of fisheries in the RSGA, develop a regional platform for coordination of policies, legislation, management plans and measures for responsible fisheries and aquaculture and use of ecosystems approaches, and support to regional level capacity building and technical assistance program on management of living marine resources responding to both anthropogenic and climate induced changes including training, providing technical guidelines, support the development of policies, legislation, management plans and completion, ratification and implementation of relevant regional conventions, action plans and protocols.

Specifically, the component will include:

- (a) **PERSGA Regional Information Management System (RIMS), monitoring network and institutional capacity.** This subcomponent will build the capacity of PERSGA, as a regional organization, to compile data on catch and fishing effort and analyze the relevant statistics received from the member states and make this information available to all member states as assigned to PERSGA by the regional convention and derived regional protocol. The activity will provide goods and services to improve IT hardware and software of the RIMS housed in PERSGA, and networking to allow it to perform integrated functions including developing a two-way system encompassing bottom-up and top-down streams for standardized data; analyzing and making effective use of fisheries data to ensure PERSGA's capacities to collect and consolidate the data received from member countries. Through this activity, PERSGA will be supported in its capacity of processing, analyzing and utilizing the collected fishery data to support science-based policies and their implementation in the region.

The activity will also support PERSGA system capacity for monitoring marine environment including on climate change impact indicators such as sea temperature, tracking oil spills and coordination of emergency response that have implications to protection of fisheries and their critical habitats, through extending the PERSGA online monitoring network for water quality, and upgrading PERSGA oil spill trajectory modeling and mapping facility. It will also promote system capacity for design and communication tools to facilitate the associated awareness programs.

Part of the activities will also support PERSGA updating institutional guidelines and promote its capacity, including manuals, standard operating tools and applications, resource management, accounting policies and procedures, financial reporting and monitoring, procurement procedures, project cycle management, risk assessment; and environmental and social safeguards assessment, planning and management.

- (b) **Regional platforms for capacity building and regional coordination of sustainable fisheries and aquaculture in the regional management mechanism.** This subcomponent will provide services and

operating costs to deliver capacity development, technical assistance and effective coordination on fishery management at the regional level. This is in line with PERSGA's strategic ecosystem management program and with PERSGA's proposed responsibility under the Jeddah Convention and the related regional protocols, including also the new protocol concerning regional cooperation in management of fisheries and aquaculture in the RSGA.

The subcomponent will support PERSGA to develop technical manuals for cost-effective approaches of harmonized fisheries data and information collecting and management adapted to the region, incorporating supplementary guidelines for monitoring and assessing IUU fishing, by-catch, spawning aggregations and sites, fish stock status etc., and a regional mechanism to share information with member states on fishery statistics and knowledge.

The subcomponent will also develop technical guidelines and conduct training programs for national capacities on fisheries statistics and sustainable management of fisheries and aquaculture aspects, based on training of trainers' approaches, including also a regional rostrum providing parallel online integrated courses for trainers and fisheries specialists.

It will also support PERSGA to develop technical guidelines, provide operational costs and technical assistance to establish and sustain regional platforms to effectively coordinate efforts for fisheries management, policies and legislation; protection and restoration of critical fish habitat; biosecurity in aquaculture, and regional mechanism to interact with relevant international efforts.

It will support technical assistance and provide operating costs for developing toolkits for effective fisheries monitoring, including IUU fishing, to be used on a continuous basis and bridge the information management in between stock assessments. The subcomponent will also include support to PERSGA in developing a Regional Plan of Action for combating Illegal, Unreported and Unregulated fishing (RPOA-IUU), and other specific action plans concerning conservation of vulnerable non target species such as sharks, turtles, seabirds and marine mammals. These action plans would provide an umbrella mechanism for cooperation and coordination of measures to combat IUU fishing, and other conservation measures in the RSGA fisheries. The subcomponent will incorporate climate change mitigation and adaptation aspects in fisheries management and will build on previous capacity development efforts that were carried out under the World Bank project: Red Sea and Gulf of Aden Strategic Ecosystem Management Global Environmental Facility (GEF) Project (P113794).

- (c) **Citizen, private sector and development partner engagement in the regional sustainable fishery mechanism through enhanced knowledge management, communication strategies and awareness.** This subcomponent includes technical assistance, consultations, and operating costs for supporting citizen, private sector and development partner engagement; raising awareness through effective communication and reporting on regional cooperation actions, including improved activities that demonstrate cooperation and coordination among the regional countries, and key actions taken for sustainable management of fisheries in the RSGA. This will also focus on PERSGA's capacity to make use of the information and process of joint assessment of RSGA fisheries status and trends in the RSGA large ecosystems; and its feedback to policy instruments at the regional level, and to assist facilitate their implementation. Based on this also, special awareness program activities will be developed, including production and dissemination of educational materials (videos, media toolkits, brochures, pamphlets, mobile applications, etc.) addressing fisheries issues, for various actors and publics, including also communication workshops to enhance their engagement. It will also support development of technical guidelines for best practices in knowledge management for specialists, including also monitoring of KM performance, and a regional platform for sharing knowledge, and facilitate linkage to research and development institutes addressing issues related to sustainable fisheries and aquaculture management in the region.

2. **Component 2: Improving Economic Opportunities, Food Security and Effective Management of Fishery Production in Yemen (approximately US\$35.80 million).** This component includes two sub-components.<sup>1</sup>

**Sub-component 2.1. Improving the resilience of the fishery value chain for sustained livelihoods (approximately US\$35.7 million).** This sub-component primarily aims to support actions to improve fishery production and quality by reducing post-harvest losses and by improving climate resilience and access to markets, thus contributing to restoring fishery sector related livelihoods and create economic opportunities by providing technical assistance, goods, works, services and operating costs. Improving economic opportunities, this sub-component will contribute to the food security agenda by increasing household income of the beneficiaries to purchase food items. Through improved access to inputs (e.g., ice, fish-finding technology) for fishing, infrastructure and logistics support (e.g., refurbishing the damaged landing sites, improvement in storing and preservation, better processing facilities) and access to market, this sub-component aims to promote increased availability and better quality of fish products for local consumption and exports. Raising awareness of the nutritional benefits of fish and/or guidance on utilization including diversification of diets, this sub-component also aims to boost the local demand and consumption of fish products. The sub-component will develop key infrastructure including improved landing and auction sites, cold chain, and promote interaction and networks between fishers, micro and small fish processors, wholesalers, and retailers to improve access to markets in targeted coastal areas. It will also support the development and enhancement of a digital information management system to provide real time pricing information in different markets for fish products and to transmit early weather warnings to the fishers and fishing communities to improve climate resilience in the coastal communities. This sub-component will also facilitate the partnership with the relevant business associations and chambers in designing market-relevant training and capacity development programs for the fishers and micro and small businesses (with a focus on female-led businesses) in the fishery sector to enhance their economic opportunities. **The preliminary criteria for beneficiary selections for different activities are included in the Annex X that ensure the beneficiaries are selected in a fair, transparent, and equitable manner and are not benefiting from parallel projects (Bank-financed or otherwise).** Specifically, the investments will include:

- (a) **Micro grants support** to fisher households and micro and small enterprises engaged in the fishing value chain on activities such as restoring artisanal fishery production, boat and engine rehabilitation, developing on-boat better storage facilities for fresh catches and to reduce post-harvest losses, purchase of modern fishing technologies (e.g. GPS navigation units and fish finder devices), provision of lifejackets (to increase the safety at sea of targeted fishermen), and fish processing, packaging, preservation, and marketing. The support will be only provided for fishing activities that do not contribute to destructive fishing practices, illegal fishing and fishing of protected species. This activity will target 9,000 direct beneficiaries and 52,000 indirect beneficiaries. This activity will be led by the implementing partner, Small Micro Enterprise Promotion Service (SMEP).
- (b) **Entrepreneurship and business development opportunities for women** in the fishery value chain aimed at restoring or establishing their livelihoods and developing and strengthening their own enterprises especially in fish processing, packaging, and marketing to improve income generation and livelihoods, and to maximize their benefits within the value chain. This activity will consultatively identify socially acceptable entrepreneurship opportunities for females in the project target areas and have measures to address potential gender-based violence associated with women participating in a male-dominated sector. This activity will target 4,000 women. This activity will be led by the implementing partner, SMEP with training provided through Technical Vocational Education Training (TVET) centers. Relevant business associations and chambers at the local and national level will also be engaged in developing and delivering training and capacity development modules and to create business to business networks for accessing

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<sup>1</sup> UNDP is currently undertaking an assessment and consultations with stakeholders that would provide inputs to further define areas such as beneficiary and other targets, implementing partners for different activities, scope of micro grants and call for proposals, etc.

markets, improving quality and value of the fish products, and information sharing on good fishing practices, accessing relevant inputs, pricing of fish products in different markets, and to establish business linkages between these MSEs and larger wholesalers and retailers. The private sector, including fish exporters expressed their interests to partner with the project on these aspects as they benefit from fish produced sustainably and ensuring quality of fish that are critical for export

- (c) **Restore and develop key fishery assets (infrastructure and technologies)** including improving landing sites, supplying fixed and mobile cold storage facilities, use of clean technologies such as solar or wind energy for ice production and for energy generation for cold-storage facilities, and digital information system on pricing in different markets and capability to transmit early weather warnings to fishing communities. This activity will ensure opportunities for beneficiaries to participate in the civil works that would provide them with additional short-term income. The designs of the infrastructure will be climate resilient especially from potential flooding, inundation and sand accumulation and have provisions for differently abled beneficiaries to access them. They will also ensure gender-sensitive sanitary facilities and facility level solid and liquid waste management systems. This activity will develop at least 10 integrated facilities and will benefit 10,000 fishers and 1,400 auctioneers, traders and buyers directly and 69,000 indirect beneficiaries. This activity will be led by the implementing partner, Public Works Project (PWP). The digital information system will be hosted and maintained by the General Authority of Fishing (GAF). The system will (i) provide pricing information in different markets to the fishers and other economic actors along the value chain to improve access to information to all economic actors in the fishery sector; and (ii) transmit early weather warnings to the fishers and fishing communities to improve climate resilience in the coastal communities.
- (d) **Capacity building and training.** This will include three sub activities and will target both men and women:
- (i) **Building capacity of fishery associations and cooperatives for improved services.** This activity will provide technical and financial support to improve the service provision and management of a selected number of fishery associations and cooperatives in the target project governorates. The training will include management of the fishery associations/cooperative, sustainable capture fishery production, fish processing and storing including management of post-harvest losses, marketing, equipment supplies and services, credit and financial schemes, and social services, management of fishing grounds and quotas. Training will be led by TVET centers but will also include fisheries experts from academia and private sector (such as from financial institutions, fish exporters, etc.). This will target 175 persons.
  - (ii) **Training fishers and other relevant coastal community members on sustainable fishing practices and related aspects.** This activity will strengthen the knowledge of fishers on long-term impacts of climate change and related potential adjustment to their livelihood, sustainable fishing practices so that marine ecosystem can withstand climate related shocks, use of advanced technologies (e.g. GPS), boat and equipment maintenance, handling and quality control of fresh catches, preservation of key habitats important for maintain fish diversity and fish breeding grounds, training in upstream and downstream activities of the fishery value chain, such as maintaining fishing nets, cleaning, processing, and handling fish products using appropriate health and sanitary measures, proper methods for drying and packaging fish. This will target 14,000 beneficiaries. Relevant local and national level business associations and chambers will be engaged in developing and delivering some of the trainings related to sustainable fishing practices, maintaining hygiene and sanitary aspects of handling, processing, and packaging fish products to maximize their market values. As mentioned above, Yemeni Fishery Exporters' Association expressed their interests to partner with the project on these aspects as their exports are affected by many of these factors related to sustainable fishing practices and preserving the quality of the catches.
  - (iii) **Awareness creation on the nutritional benefits of fish and guidance on utilization of fish as a key protein source.** This activity will support the development of awareness creation material and undertake awareness creation campaigns targeting 87,500 engaged in the fishery value chain and an additional 500,000 persons targeted through awareness raising through various remote media such as radio and social media.

**Sub-component 2.2. Governance systems and knowledge developed for effective management and climate resilience of fisheries (approximately US\$0.34 million).** This sub-component aims at developing local governance systems and knowledge to effectively manage fisheries and ensure climate resilience that aligns with the fishery sector strategy of Yemen and will contribute to the implementation of the Protocol concerning fisheries and aquaculture for the RSGA. It will provide technical assistance, goods, services and operating costs in setting up and improving local systems and capacity of local authorities, fishery associations and cooperatives and other community-based groups that have a role in the management of fisheries and creating partnerships with private sector. This sub-component will be closely linked with fishery information management system at the RSGA level under Component 1 and related capacity building. It is expected that 270 staff from cooperatives, associations, local authorities and General Authority of Fisheries (GAF) that will be involved in the fisheries management planning process, 20 staff from GAF related to data collection, 30 staff from cooperatives on extension services and 90 staff from cooperatives and associations on related capacity building will be directly involved. This sub-component will support:

- (a) **Setting up of local fishery governance committees led by GAF that complements the implementation fishery strategies and regulations related to management of fisheries and other marine resources.** These local governance committees will act as coordinating and consultative platforms for stakeholders (that included representatives from fishery authorities, fishers and other involved in the value chain, academia, and business chambers and associations) and will monitor the adherence of key principles important for effective management of fisheries such as regulating the fishery associations and cooperatives to provide equitable services to their membership, responsible fishing practices and community-based fishery management. The membership of the representatives for the committee and key management principles will be identified through a citizen engagement process and will be included in the POM.
- (b) **Establishing approaches for regular fishery data collection and reporting under limited capacity setting.** Regular collection of fishery data will be important for local level governance decision making and also to contribute to regional reporting. Given the capacity and access limitations, utilization of a simplified fishery data indicators will assist to assess challenges that impacts the sector and proxy status of fish stocks. Community members will be trained to collect the data and compensated further contributing to their income.
- (c) **Study on fishery sector diversification and development of a business model.** Fishery sector diversification will address challenges such as the over-exploitation of capture fishery, current limitations of accessing fishing areas due to high risk of conflict and piracy and respond to climate shocks. The project will undertake a study to assess the past efforts, opportunities, feasibility and inputs needed to diversify the sector and develop a business model for medium to long-term investments. The findings of the study will also contribute to fishery management plan.
- (d) **Developing local-level fishery management plans that will respond to short-term needs of the sector and beneficiaries under the current humanitarian context and to develop the medium to long-term needs of the sector.** These management plans will also ensure the scarce resources to the fishery sector is better utilized and targeted reducing potential overlap of interventions and investments and create complementarity. It will utilize evidence from fishery stock assessment that is conducted by FAO and other related studies undertaken recently including fishery value chain studies of United Nation Development Program (UNDP) and International Finance Corporation (IFC) and sector diagnostic by FAO and recently concluded, on-going and planned investments of various development partners. The project will support developing and piloting two management plans and will ensure they are climate informed. It will be developed using participatory approaches, especially consulting relevant line ministries and departments, development partners, academia and think tanks, civil society organizations, international and local non-governmental organizations and private sector chambers and associations and utilizing the local fishery governance committees which will monitor the implementation of the plan, coordinate the support to effectively develop the fishery sector in targeted areas, make updates to respond to changing circumstances and needs and share knowledge.

3. **Component 3. Project Management, Monitoring and Evaluation and Reporting (approximately US\$3.64 million).** This will include two sub-components:

**Sub-component 3.1. Project management, monitoring and evaluation and reporting by PERSGA (approximately US\$0.35).** This sub-component component includes technical assistance, training, operating costs, and goods for PERSGA for management of the regional component ensuring technical, fiduciary, environmental and social, parameters. This will also include implementation of the ongoing communication activities to raise awareness about the SFISH Program and implementation progress, will ensure effective engagement of stakeholders at the RSGA level and develop and maintain a maintain a grievance mechanism (GM). PERSGA will also closely coordinate with UNDP to ensure joint implementation of fishery data collection and reporting and related capacity building at the country level. It will also support the implementation of ongoing communication activities to raise awareness about the Program and implementation progress.

**Sub-component 3.2. Project management, monitoring and evaluation and reporting by UNDP (approximately US\$3,29).** This component includes technical assistance, training, operating costs, and goods for UNDP for national implementation of the Yemen component ensuring technical, fiduciary, environmental and social, parameters. This will also include implementation of the ongoing communication activities to raise awareness about the project and implementation progress and to ensure effective citizen engagement. This sub-component will develop, conduct, and manage country-level monitoring and evaluation of investments, share information and results throughout the region. It will also support the implementation of ongoing communication activities to raise awareness about the Program and implementation progress. This component will also finance the setting up of a monitoring and evaluation (M&E) system and Management Information System (MIS), and a third-party monitoring (TPM) mechanism and establish and maintain a GM. The M&E is expected to be strengthened by using the Geo-Enabling initiative for Monitoring and Supervision (GEMS)<sup>2</sup> for real time data collection and reporting and feed into the M&E and MIS systems and by carrying out an additional rigorous impact evaluation to assess the suitability and impact of project interventions.

**The project across all components will integrate COVID-19 awareness and preventive measures in the training events and awareness campaigns planned for beneficiaries, as well as provide necessary consumables such as masks and hand sanitizers.** Awareness raising and training events will follow precautionary measures described in workshop/training protocols and national guidelines including enforcing and maintaining adequate distancing during project activities. Activities that require presence of project beneficiaries such as consultations, training, etc. will be held in locations and during times that are convenient for both men and women.

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<sup>2</sup> The GEMS method enables project teams to use open-source tools for in-field collection of structured digital data that automatically feeds into a centralized M&E system and Management Information System (MIS). GEMS will also allow for establishing a digital platform for remote supervision, real-time environmental and social monitoring, and portfolio mapping for coordination with other relevant operations in the region.

## 2.1 Description of Baseline Environmental and Socioeconomic Conditions

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

- About 14.4 million Yemenis are currently considered food insecure. The poor state of the health services is leading to a catastrophe in terms of excess mortality due to malnutrition and diseases. At present the Ministry of Health and international partners are also battling a cholera epidemic. Some 3 million children under five years and pregnant or lactating women require services to treat or prevent acute malnutrition; 1.3 million under-five children are malnourished, with 370,000 suffering from severe acute malnutrition, a doubling of pre-crisis levels. Preliminary estimates of the Nutrition Cluster in October 2016 indicates that 4.5 million children and pregnant and lactating women require malnutrition treatment or preventive services. The number of people in need of assistance increased by 148% compared to late 2014. Severe and Acute Malnutrition blunts children intellect and makes them nine times more likely to die compared to their healthy peers. This poses a serious risk to the future of human development in Yemen.
- Furthermore, it is estimated that approximately 19.4 million Yemenis lack access to clean drinking water and sanitation, and 14.1 million cannot access adequate health care. Children are facing significant psychological stress; an estimated 1.8 million children are out of school because of fighting and insecurity. 2,007,216 internally displaced persons (IDPs) across 21 governorates; the majority, 50%, are displaced in Hajjah, Taizz, Amanat Al Asimah and Sana'a. The Task Force on Population Movement has identified 1,027,674 returnees in 19 governorates; the majority, 68%, have returned to Aden, Amanat Al Asimah and Taiz.
- The number of IDPs have risen to over 2 million, with the majority of displaced people hosted by local communities. According to latest estimates from the Task Force on Population Movement in January 2016, about 1,027,000 IDP returnees who returned to their place of habitual residence across Yemen, representing about a 32% increase compared to April 2016. The prospects for women-headed households, which represent more than 50 percent of the displaced community, are particularly challenging. Households, communities, and public and private institutions need support to cope and build resilience toward peace and recovery.
- Yemeni economic advancement depends on its natural resource base; agriculture and mining. Agriculture forms an important sector in the nation's economy and much of the economic activities depend on exploitation of freshwater resources, marine resources, and its soil and oil wealth. However, the natural resource base is facing serious challenges. The rapidly growing population at the rate of 3% annually accelerates pressure on scarce natural resources. Demand increases on water resources, foodstuff and other products of natural resources. People exploit soil, vegetation and water without paying adequate attention to the sustainability of these resources. Unplanned expansion of urban centers exceeds, in some places, the carrying capacities of available resources to

meet new demand. It also causes sanitation and waste management problems and puts pressure on social services, in addition to loss of biodiversity and agricultural land.

- Yemen has a long coastal band with rich fish resources in the sea, benefiting from mountainous inputs and wadi slopes' deposits. This sector is one of the most promising economic sectors generating essential incomes for the fishermen. Yemen lies on the Red Sea, the Arabian Sea (including Gulf of Aden) and the Indian Ocean, which are noteworthy areas that provide fish which forms a significant component of coastal population's diet and livelihood. Fish wealth is a major renewable natural resource of Yemen as well as a primary national source of income. Prior to the conflict, more than 350 species of fish and other marine life in the territorial waters made Yemen a major fish producing country in MNA.<sup>3</sup> Moreover, a variety of ecosystems such as coral reefs and mangroves, supported about 65 commercially important species including invertebrates (shrimp, lobsters, cuttlefish, sea cucumbers), pelagic species (yellowfin and longtail tuna, kingfish, queenfish, Indian mackerel, Indian oil sardines) and demersal species (groupers, emperors, jacks, bream).<sup>4</sup>
- The Ministry of Agriculture, Irrigation and Fisheries (MAIF) is currently in charge with the management of the fisheries sector in Yemen. It has a central office located in Sana'a and is supported by branch offices in nine coastal governorates: General Corporation for Fish Marketing Services, Coastal Fisheries Corporation, Marine Science Biological and Research Authority, Aquaculture Research Centre, and Fish quality control laboratories. In 2012, about 2,600 employees were engaged in operationalizing the fisheries sector activities. Currently, the human resources have dwindled and some of the local offices are no longer functioning to provide the necessary technical support to the fishers and to ensure enforcement.
- The fishery sector provided job opportunities for more than half a million individuals<sup>5</sup>, which supported 1.7 million people, forming 18 percent of the coastal population prior to the conflict.<sup>6</sup> Fish contributed to poverty alleviation, food, and nutritional security primarily in the coastal governorates of Hajjah, Taiz, Hudaydah, Aden, Lahj, Abyan, Shabwah, Hadramawt and Mahrah<sup>7</sup>, and in other parts of the country, such as Sana'a. The total fish catch was about 160,000 tons in 2015<sup>8</sup>, mostly associated with artisanal fishing.<sup>9</sup> Although stock assessments were not available, the National Fisheries Strategy (2012-2025) indicates that the country's fisheries is at serious risk of depletion, due to lack of appropriate management to stabilize the valuable stocks.
- The conflict has caused severe damages to the entire fishery value chain. It has taken the lives of many fishermen, destroyed fishing boats and landing sites, disrupted electricity that in turn has severely affected ice-production and cold-supply chain leading to deterioration of product maintenance and quality, limited fishermen's access to the sea, increased fuel prices affecting boat operation, disrupted transportation networks that heavily affected access to critical input supplies and fish product distribution networks both for domestic and export markets. Overall, the entire fish supply chain has been massively destroyed. As a result, for example only about 50 percent of fishermen in the Red Sea are believed to be still working in the sector.<sup>10</sup> Job opportunities and fish production have declined considerably along the coast, particularly in Hudaydah, Taiz and Hajjah governorates, which became war zones. This led to migration of people away from the coast in search for survival opportunities. Yet, due to the severe humanitarian crisis affecting all parts of the country, the coastal population are gradually returning to fishing for survival. Fish is a key staple of the Yemeni diet, particularly for coastal communities and the deterioration of fishing infrastructure has led to

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3 Ellaya, M. 2019. Fishing during the war? The impact of war on Yemeni fisheries. Published by Fisheries Conflicts: Case Studies (<https://ucsdonline.maps.arcgis.com/apps/MapSeries/index.html?appid=1d694c00fecc42759f6605837c386354>)

4 Ministry of Fish Wealth. 2012. National Fisheries Strategy (2012-2025).

5 Artisanal fishing dominated the sector, directly supporting the livelihoods of about 667,000 people (Alabsi and Komatsu, 2014).

6 Ministry of Fish Wealth. 2017. Guide of Fishery Investment. p. 14.

7 See Ellaya (2019), cited above.

8 World Bank. 2018. Middle East and North Africa. Food Security in Yemen. Improving Food Availability and Access for Rural Households in Yemen. September 2018.

9 Based on data the Ministry of Fish Wealth statistics, quoted by Republic of Yemen (2018).

10 LSE Middle East Centre. 2018. The Impact of the War in Yemen on Artisanal Fishing of the Red Sea. LSE Middle East Centre.

increase in fish prices (combined with lower incomes of coastal communities relying on fisheries and impacts of COVID-19 pandemic), which made fish unaffordable for many people.

- Nonetheless, the fishery sector remains vital for supporting the lives and livelihoods in Yemen. Today, Yemen exports fish to almost 34 countries (down from 50 countries prior to the conflict) including neighboring markets, but also European and Asian markets, and the value of fish exports between January – September 2019 was estimated at US\$41 million (which is sharply down from US\$289 million in 2013). The sector still provides a main source of food security, earnings, and employment for Yemenis living along the southern coast, including in 50 localities along the Gulf of Aden and the Arabian Sea. There are 70,000 small-scale fishermen in the region, and the industry is often the sole source of income for coastal communities.<sup>11</sup> Fish is also a good source of protein for local consumption as well as a solution to food security. However, the size of fishery remains limited and contribution of the sector to the total economic local production still modest because of deficient access to modern technologies in fishing and processing the production. Preserving the sector is essential to support the people weather the impact of the conflict, and to rebuild the nation post-conflict. Although engaging in the country under the current context is subject to multiple risks, the risk of inaction is exponentially greater for the survival of Yemeni citizens. Over 20 million people, about two-thirds of Yemen’s population, is dependent on humanitarian aid.<sup>12</sup> The United Nations Office for Coordination of Humanitarian Affairs’ (UNOCHA’s) Yemen Humanitarian Response Plan remains only half-funded, and by September 2021, several humanitarian response sectors have received less than 15 percent of needed funds.<sup>13</sup> This alarming situation means that several millions of people will be at even higher risks of famine and death due to lack of action. This calls for an urgent need of action to develop new ways to improve food security, nutrition and livelihoods for the Yemenis at risk. The proposed Project aims to address this gap by investing in the fisheries sector, through re-engagement, reconstruction, and improving the fish value chains. The importance of enhanced institutional and governance capacity, technology transfer and capacity building in science-based but practical and context specific sustainable management practices and controlling of fishing effort level that do not impair resource productivity underpins the proposed operation. In addition, by incorporating key elements of sustainable fishery and scaling up the use of innovative technologies, the Project aims to make a first step towards a sustainable blue economy in the region.

### 3 Legal and Regulatory Framework

The ESMF is prepared to:

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

#### 3.1 National Legislation, Policies and Regulations

##### 3.1.1 National Environmental Action Plan

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

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<sup>11</sup> [https://pdf.usaid.gov/pdf\\_docs/PA00WFZJ.pdf](https://pdf.usaid.gov/pdf_docs/PA00WFZJ.pdf)

<sup>12</sup> UN OCHA. (2021). Yemen Humanitarian Update (Issue 8). <https://reliefweb.int/report/yemen/yemen-humanitarian-update-issue-8-august-2021-enar>

<sup>13</sup> Ibid.

### 3.1.2 National Biodiversity Strategy and Action Plan

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

### 3.1.3 National Water Sector Strategy and Investment Program

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

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

### 3.1.4 Water Law

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

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

### 3.1.5 Environmental Protection Law

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

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

## Environmental Protection Authority

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

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

## Environmental Impact Assessments

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

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

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

### **3.1.6 Labour Law**

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

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

to leave school prematurely; or by requiring them to attempt to combine school attendance with excessively long and heavy work.

### 3.1.7 Summary of Yemen's Law and International Ratification of International Convention regarding Women Employment and Gender Equality

Yemen ratified the Convention on Elimination of all Forms of Discriminations Against Women (CEDAW) in 1984, and prepared a National Strategy for Women Development in 1997, which was **updated** in 2015. Implementation of CEDAW is delegated to relevant ministries and authorities (Decree 55/2009). Based on amendments proposed by the Women National Committee, 24 laws were amended to ensure building gender balance in accordance with the convention. 149.

There are some Yemen national laws and strategy address gender and GBV as follows:

- Gender Equality in the Labor Law (Law 5/1995): **states the women are equal to Man in all aspects with no discrimination.**
- ***Gender based violence: this reflects on three items of :1) Yemen established its National committee for Women in Supreme council for Women's Affairs in 1996 which designated to for implementing Beijing Platforms for Action (1995) and then to report on progress on the CEDAW' 2) Yemen National Strategy - GBV*** which is part of the National Strategy for the development Women 2006-2015, to ensure all legal measures to protect women's rights; 3) Domestic and Social Violence, a draft law was made in 2014, to eliminate violence against women and girls.
- Yemen Legal and Social Services: Yemeni Women Union (YWN) was established in 1990 to provide legal information on services to survivors GBV. Also YWN does receive some cases on GBV with help of UNFPA, The YWN is active in North and South.
- Laws and strategy regarding The Gender Equal in the labor Law, GBV required to be activated in the South Yemen, but in the North is not allowed to be implemented fully.

### 3.1.8 PWP and SMEPS Operating Procedures

In the context of the Yemen (SFISH) project , both PWP and SMEPS operating manuals are integrated in one Project Operating Manual (POM) that facilitated by UNDP in one documents. This ESMF has been developed for the (SFISH) project and will be followed by all implementing partners.

## 3.2 International Agreements and Protocols

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

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

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

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

### 3.3 UNDP’s Social and Environmental Standards

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

UNDP’s SES came into effect in January 2021. The SES underpin UNDP’s commitment to mainstream social and environmental sustainability in its Programmes and Projects to support sustainable development. The objectives of the standards are to:

- Strengthen the quality of programming by ensuring a principled approach;
- Maximize social and environmental opportunities and benefits;
- Avoid adverse impacts to people and the environment;
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible;
- Strengthen UNDP and partner capacities for managing social and environmental risks; and
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people

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

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

Part A: SES Programme Principles	Part B: SES at Project standard levels	PART C: Social and Environmental Management System
<p><b>Principle 1: NO one Leave Behind</b></p> <p><b>Principle 2: Human rights</b></p> <p><b>Principle 3: Gender Equality and Women’s empowerment</b></p> <p><b>Principle :4 Sustainability and Resilience</b></p> <p><b>Principle 5: Accountability</b></p>	<p>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</p> <p>Standard 2: Climate Change and Disaster Risks</p> <p>Standard 3: Community Health, Safety and Security</p> <p>Standard 4: Cultural Heritage</p> <p>Standard 5: Displacement and Resettlement</p> <p>Standard 6: Indigenous Peoples</p> <p>Standard 7: Labour and Working Conditions</p> <p>Standard 8: Pollution Prevention and Resource Efficiency</p>	<p>✓ Quality Assurance and Risk Management</p> <p>✓ Screening and Categorization</p> <p>✓ Assessment and Management</p> <p>✓ Stakeholder Engagement and Response Mechanism</p> <p>✓ Access to information</p> <p>✓ Monitoring , Reporting and Compliance</p>

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

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

### 3.4 World Bank Requirements

#### **World Bank Environmental and Social Framework (ESF)**

The (SFISH) project will follow the World Bank's Environmental and Social Framework which sets out the World Bank's commitment to sustainable development, through a Bank Policy and a set of Environmental and Social Standards that are designed to support Recipient, with the aim of ending extreme poverty and promoting shared prosperity. Listed below are the standards of the World Bank

- Environmental and Social Standard 1: Assessment and Management of Environmental and Social Risks and Impacts.
- Environmental and Social Standard 2: Labor and Working Conditions.
- Environmental and Social Standard 3: Resource Efficiency and Pollution Prevention and Management.
- Environmental and Social Standard 4: Community Health and Safety.
- Environmental and Social Standard 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement.
- Environmental and Social Standard 6: Biodiversity Conservation And Sustainable Management Of Living Natural Resources
- Environmental and Social Standard 8: Cultural Heritage
- Environmental and Social Standard 9: Financial Intermediaries; and
- Environmental and Social Standard 10: Stakeholder Engagement and Information Disclosure.

Environmental and Social Standard ESS1 applies to all projects for which Bank Investment Project Financing is sought. ESS1 establishes the importance of:

- A. the Recipient's existing environmental and social framework in addressing the risks and impacts of the project.
- B. an integrated environmental and social assessment to identify the risks and impacts of a project.
- C. effective community engagement through disclosure of project-related information, consultation, and effective feedback; and
- D. management of environmental and social risks and impacts by the Recipient throughout the project life cycle.

The Bank requires that all environmental and social risks and impacts of the project be addressed as part of the environmental and social assessment conducted in accordance with ESS1. ESS2–10 set out the obligations of the Recipient in identifying and addressing environmental and social risks and impacts that may require particular attention. These Standards establish objectives and requirements to avoid, minimize, reduce and mitigate risks and impacts, and where significant residual impacts remain, to compensate for or offset such impacts.

#### **Environment, Health and Safety Guidelines**

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

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

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

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

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

**Table 2: WB’s ESSs and UNDP SESs for the (SFISH) project**

WB ‘s ESSs	UNDP’s ESSs	Yemeni Requirements	Gap
ESS1: Assessment and Management of Environmental and Social Risks and Impacts.	Standard 2: Climate Change and Disaster Risks	<p>The Law requires the preparation of an EIA during the preparation of all projects and the inclusion of mitigation measures in the project’s capital and recurrent costs (<b>Cabinet Decree Number 89/1993</b>). The EIA should describe: (i) proposed project activities, design of activity, the surrounding environment that may be affected, including a land use map of the adjacent areas, the requirement and types and source of energy, raw material and infrastructure services and roads emergency plan and safety, waste disposal etc; (ii) and (iii) alternatives using less polluted inputs, as well as consideration of the ‘no-project’ alternative (<b>EPL Article 37 Para (b)</b>).</p> <p>The EIA guidelines also include requirements for monitoring, capacity building, verification of monitoring results and findings (<b>EPL Article 60</b>).</p>	<p>No Gap.</p> <p>UNDP and IPs ensures sets out the assessing, managing, mitigate and monitoring environmental and social risks or impact may occur is any phase of the project cycles, beside ensure sustainability and reduce social and environmental risks, including the climate change and disaster risk reduction. UNDP and partners ensure all activities in consistent with WB’s ESSs and UNDP SES and Yemeni law.</p>
ESS2: Labor and Working Conditions.	Standard7: Labour and work Conditions	<p>The occupational safety and health activities in Yemen are organized by Chapter 9 of the Yemeni Labour Law <b>Number 5/1995, Law Number 25/1997 and Law Number 25/2003</b>, the articles of which require employers to take</p> <p>All precautions necessary to ensure that workplaces are safe and healthy.</p>	<p>There is a gap between the World Bank’s ESS Guidelines, UNDP SES and Yemeni laws and regulations.</p> <p>The projects will apply whichever is more stringent. The project will ensure the availability of the appropriate work environment and conditions for occupational safety and health as details indicated in the LMP.</p>
ESS 3: Resource Efficiency and Pollution Prevention and Management.	Standard 8: Pollution Prevention and resource efficiency.	<p>National law gives priority to the principle of environmental protection and pollution prevention, and not only to the mitigation or compensation of impacts. It also encourages research</p>	<p>The Project will avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities.</p>

		and development in all environmental aspects <b>(EPL, Article 90)</b> .	<p>Assess impacts from waste generation, emission and discharge expected from the subproject activities during all phases and include relevant mitigation measures into the subproject specific ESMPs.</p> <p>Ensure adherence of conducted activities with ESMPs.</p> <p>Prepare guidelines based on Good International Industry Practices (GIIP) for safe and sustainable fisheries.</p> <p>Creating awareness amongst fishers about safe and sustainable fisheries.</p>
ESS 4: Community Health and Safety	Standard 3: Community Health, Safety and Security		The project will assess and addresses any sort of risk related to health, security and safety that may impact the affected communities. The responsibility of IPs and UNDP to eliminate and avoid negative impacts on the community.
ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement			Given that most of the project civil works will take place within the confines of existing fishery infrastructure/facilities. However, the alternative analysis during the project designing stage will be made to avoid or reduce the land acquisition and restriction of land use as much as possible to minimize the negatively physical and socioeconomic impacts to local people especially the vulnerable.
ESS 6: Biodiversity Conservation And Sustainable Management Of Living Natural Resources	Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Yemen has signed in 1992 and ratified in 1995 the International Convention on Biological Diversity which was launched at the Earth Summit conference in 1992. In so doing, Yemen has acknowledged the value of biological resources as an integral part of it's natural heritage with the potential for yielding long term benefits for the Yemen people and as essential foundation for sustainable development.	The relevance of this ESS will be further discussed and assessed during the preparation of subproject's ESMP. Mitigation measures will be in place to protect or minimize the adverse impacts to aquatic ecosystems during construction (e.g. increased water turbidity, accidental pollution from spillage of construction materials and leakage of oil and grease).
ESS 8: Cultural Heritage	Standard 4: Cultural Heritage		There is a potential for chance finds during project construction

			activities. A chance finds procedure has been included in the project ESMF, and will be included in Subproject's ESMP. Subprojects will be screened and assessed for potential impacts on cultural heritage and relevant mitigation measures will be included in the Subproject's ESMPs and construction contracts.
ESS 9: Financial Intermediaries; and			UNDP and IPs recognize that strong domestic capital and financial markets and access to finance are crucial to promote economic development, and poverty reduction. The project's intervention will be monitored, mitigated and managed the environmental and social risks ( gender, GBV and SEA) and impacts of any negative impacts.
ESS 10: Stakeholder Engagement and Information Disclosure	<b>UNDP Social and Environmental Management System Requirements:</b> Stakeholder Engagement and Response Mechanisms	Article 35 of the Yemeni Constitution declares that Environment protection is the responsibility of the state and the community and that it is a duty for every citizen. It requires the Involvement of stakeholders, including project-affected groups and local nongovernmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account.	No Gap. UNDP and its partners undertake the essentiality of participation and engagement between project recognizes the importance of open and transparent stakeholders to enhance Effective participation of all vulnerable groups, sustainability of the project and stakeholder's ownership. The participation and engagement with stakeholders start form project design, implementation monitoring and evaluation.

## 4 Social and Environmental Impacts and Risks

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

The following section describes the UNDP social and environmental Principles and Standards that have been identified as relevant based on completion of the project-level Social and Environmental Screening Procedure (SESP, see Annex 1). Although different levels of risk categories have been assigned to different activities, varying from Low to Substantial, the overall project categorization should follow the highest level of risk categorization, which in this case is Substantial.

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

**Table 3: Summary of Key SES Requirements for the (SFISH) project**

SES Principle or Standard	Summary of Relevant SES Requirements
<b>Principle 1: Leave No one Behind</b>	Leaving no one behind and reaching the furthest behind first is the central promise of the 2030 Agenda. As an overarching programming principle, leaving no one behind requires UNDP to prioritize its programmatic interventions to address the situation of those most marginalized, discriminated and excluded, and to empower them as active agents of the development process. The project targets the affected people, interests and marginalized groups in Yemen, UNDP and IPs will consider
<b>Principle 2: Human Rights</b>	UNDP Recognizes centrality of human rights to sustainable development, upholding principles of accountability and rule of law, participation and inclusion, and equality and non-discrimination. The project gives priority to most affected and vulnerable groups as indicated in SEP.
<b>Principle 3: Gender Equality and Women’s Empowerment</b>	The project should promote design and implementation of gender responsive subprojects, to ensure that both women and men are able to participate meaningfully and equitably, including people with disability. UNDP is committed to identify and address any risk of potential exposure of affected people to gender-based violence (GBV) and other abuse that may occur and in connection with any of its supported activities. UNDP requires that appropriate prevention and response measures be adopted to prevent and to respond effectively to GBV, including activities to prevent and address potential exposure of project-affected people to GBV risks; screening of personnel; provision of training on prevention and response to GBV; effective reporting and response protocols; referrals for safe and confidential survivor assistance such as UNFPA- women Protection subcommittee in the North and GBV Subcommittee in South of Yemen
<b>Principle 4: Resilience and Sustainability</b>	Strengthen the resilience of societies to the impact of shocks, disasters, conflict and emergency situations, and the sustainable management, conservation, and rehabilitation of natural habitats (and their associated biodiversity and ecosystem functions) are fundamental to UNDP’s efforts to develop and implement sustainable development pathways. UNDP seeks to address poverty and inequality and to reduce vulnerabilities while maintaining and enhancing natural capital. .
<b>Principle: Accountability</b>	UNDP promotes accountability to programme and project stakeholders by (i) enabling active local community engagement and participation in decision-making, particularly those at risk of being left behind; (ii) ensuring transparency of programming interventions; (iii) ensuring stakeholders can communicate their concerns and have access to rights-compatible complaints redress processes and mechanisms; and (iv) ensuring effective monitoring, participatory monitoring with stakeholders and reporting on implementation of social and environmental risk management measures.
SES Standard at Project level	SES Standard summary: Introduction, Objectives and Scope of Application
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resources Management</b>	<b>Introduction:</b> UNDP seeks to maintain and enhance the goods and services provided by biodiversity (Convention on Biological Diversity, ) and ecosystems in order to secure livelihoods, food, water and health, enhance resilience, conserve threatened species and their habitats, and increase carbon storage and sequestration. UNDP is committed to managing and rehabilitating ecosystems for adaptation to and mitigation of climate change, strengthening the rights of affected populations including women, indigenous peoples, and local communities to sustainable use of resources.

	<p><b>Objectives:</b> To conserve biodiversity ;to maintain and enhance the benefits of ecosystem services; to promote sustainable management and use of living natural resources; to ensure the fair and equitable sharing of the benefits from the utilization of genetic resources; to respect, preserve, maintain and encourage knowledge, innovations and practices of indigenous peoples and local communities relevant for the conservation and sustainable use of biodiversity and their customary use of biological resources</p> <p><b>Scope of application:</b></p> <p>The applicability of this Standard is established during the social and environmental screening and categorization process. Requirements of this Standard apply to projects that (i) are located in modified, natural, and critical habitats; and/or (ii) potentially impact or are dependent on the ecosystem services of modified, natural, or critical habitats; and/or (iii) include production of living natural resources (e.g. agriculture, animal husbandry, fisheries, forestry).</p>
<p><b>Standard 2: Climate Change and Disaster Risks</b></p>	<p><b>Introduction:</b> UNDP ensures that its projects are sensitive to climate change and disaster risks and do not contribute to increased vulnerability to climate change and natural hazards. Reducing the negative impacts of climate change and disaster is pursued through three complementary strategies: mitigation (reducing greenhouse gas emissions that are an anthropogenic root cause of climate change); adaptation (adjusting human systems to moderate harm and/or exploit beneficial opportunities from climate change); and Disaster risks ( by reducing and addressing vulnerability to a broad range of potential hazards, including biological, environmental, geological and ..etc.).</p> <p><b>Objectives:</b> To ensure that UNDP projects are sensitive to climate change and disaster risks in order to strengthen resilience and to achieve sustainable development outcomes; and to reduce project-related greenhouse gas (GHG) emissions and intensity</p> <p><b>Scope of Application:</b> The applicability of this Standard is established during the social and environmental screening and categorization process. Requirements of this Standard apply to all projects that (i) have development outcomes that may be threatened by climate change or disaster risks; (ii) may contribute to increased exposure and/or vulnerability to climate change or disaster risks; or (iii) may produce significant GHG emission.</p>
<p><b>Standard 3: Community Health, Safety and Security</b></p>	<p><b>Introduction:</b></p> <p>The Community Health and Safety Standard recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. Potential negative impacts affecting health and safety may arise from a broad range of supported activities, including from infrastructure development and construction activities, changes in the nature and volume of traffic and transportation, water and sanitation issues, use and management of hazardous materials and chemicals, impacts on natural resources and ecosystems, the influx of project labour, and potential abuses by security personnel.</p> <p><b>Objectives :</b></p> <p>1)To anticipate and avoid adverse impacts on the health and safety of affected communities during the project life cycle from both routine and non-routine circumstances; 2)To ensure quality and safety in the design and construction of project-related infrastructure, preventing and minimizing potential safety risks and accidents; 3) To avoid or minimize community exposure to disaster risks, diseases and hazardous materials associated with project activities; 4) To ensure that the safeguarding of personnel and property minimizes risks to communities and is carried out in accordance with international human rights standards and principles; and 5) To have in place effective measures to address emergency events, whether human-made or natural hazards</p> <p><b>Scope of Application:</b></p> <p>The applicability of this Standard is established during the social and environmental screening and categorization process. Requirements of this Standard apply to projects that may pose significant risks to human health and safety. Further requirements to avoid or minimize impacts on human</p>

	health and the environment, due to pollution are included in Standard 8: Pollution Prevention and Resource Efficiency.
<b>Standard 4: Cultural Heritage</b>	<p><b><u>Introduction:</u></b></p> <p>UNDP recognizes that Cultural Heritage is central to individual and collective identity and memory, reflects and expresses people’s constantly evolving values, beliefs, knowledge, traditions, and practices. UNDP seeks to ensure that Cultural Heritage is preserved, protected, and promoted in project activities in a manner consistent with UNESCO Cultural Heritage conventions or any other national or international legal instruments</p> <p><b><u>Objectives:</u></b></p> <p>1) To protect Cultural Heritage from damage, inappropriate alteration, disruption, removal or misuse; 2) To preserve and safeguard Cultural Heritage; 3) To promote the equitable sharing of benefits from the use of Cultural Heritage; and 4) To promote meaningful consultation with stakeholders regarding preservation, protection, utilization and management of Cultural Heritage.</p> <p><b><u>Scope of Application:</u></b></p> <p>The applicability of this Standard is established during the social and environmental screening and categorization process. The Standard applies to projects that may adversely impact Cultural Heritage, including projects that meet any of the following criteria: (i) located in, or in the vicinity of, a Cultural Heritage site, (ii) involving significant excavations, demolitions, movement of earth, flooding, or other environmental changes; (iii) proposes to utilize tangible or intangible forms of Cultural Heritage for commercial or other purposes.</p> <p>This project will not be implemented in the cultural heritage site; therefore any intervention should check and assess to ensure there is no negative or harm impacts in the cultural heritage.</p>
<b>Standard 7: Labour and work Conditions</b>	<p><b><u>Introduction:</u></b></p> <p>The pursuit of inclusive and sustainable economic growth, full and productive employment, and decent work for all requires the protection of workers’ fundamental rights, their fair treatment, and the provision of safe and healthy working conditions. Project activities seek to enhance employment promotion benefits, development outcomes and sustainability by ensuring sound worker-management relationships and cooperation in their design and implementation. The SES requirements have been guided by a number of international conventions and instruments, including those of the International Labour Organization (ILO) and the United Nations (UN)<sup>14</sup>.</p> <p><b><u>Objectives:</u></b></p> <p>1) To promote, respect and realize fundamental principles and rights at work through:</p> <ul style="list-style-type: none"> <li>• Supporting freedom of association and the effective recognition of the right to collective bargaining</li> <li>• Preventing the use of child labour and forced labour</li> <li>• Preventing discrimination and promoting equal opportunity of workers</li> </ul> <p>2) To protect and promote the safety and health of workers; 3) To ensure applicable parties comply with employment and labour laws, applicable rules and regulations and international commitments; and 4) To leave no one behind by protecting and supporting workers in disadvantaged and vulnerable situations, including a special focus, as appropriate, on women workers, young workers, migrant workers, and workers with disabilities</p>

<sup>14</sup> These conventions (see link) include among others: *ILO Convention 87 on Freedom of Association and Protection of the Right to Organize*; *ILO Convention 98 on the Right to Organize and Collective Bargaining*; *ILO Convention 29 on Forced Labour* and Protocol of 2014; *ILO Convention 105 on the Abolition of Forced Labour*; *ILO Convention 138 on Minimum Age (of Employment)*; *ILO Convention 182 on the Worst Forms of Child Labour*; *ILO Convention 100 on Equal Remuneration*; *ILO Convention 111 on Discrimination (Employment and Occupation)*; *ILO Convention 155 on Occupational Safety and Health*; *ILO Convention 161 on Occupational Health Services*; *UN Convention on the Rights of the Child, Article 32*. *UN Convention on the Protection of the Rights of all Migrant Workers and Members of their Families*

	<p><b><u>Scope of Application:</u></b></p> <p>The applicability of this Standard is established during the social and environmental screening and categorization process. The requirements of this Standard are to be applied in an appropriately scaled manner based on the of contracting and nature and scale of the sub-project, its specific activities, the project’s associated social and environmental risks and impacts, and the type of contractual relationships with project workers.</p> <p>The requirements regarding labour and working conditions apply to all project workers, including full-time, part-time, temporary workers. Project workers are hired or contracted by IPs, should be adhered to UNDP’ SES and WB’ESS that agreed on the requirements of this Standard are to be addressed by the IPs during implementing the relevant sub-project activities as indicated in the LMP.</p>
<p><b>Standard 8: Pollution Prevention and Resource Efficiency</b></p>	<p><b><u>Introduction:</u></b></p> <p>The Pollution Prevention and Resource Efficiency Standard recognizes that increased industrial activity, urbanization, and intensive agricultural development often generate increased levels of pollution to air, water, and land, and consume finite resources in a manner that may threaten people and the environment at the local, regional, and global level. Pollution prevention and resource efficiency are core elements of a sustainable development agenda and UNDP projects must meet good international practice in this regard.</p> <p>This Standard outlines a project-level approach to pollution prevention and resource efficiency. Reduction of greenhouse gas emissions that contribute to climate change is addressed in Standard 2: Climate Change and Disaster Risks.</p> <p><b><u>Objectives:</u></b></p> <p>1)To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities; 2)To promote more sustainable use of resources, including energy, land and water; 3)To avoid or minimize programming-related emissions of short and long-lived climate pollutants and ozone-depleting substances; 4)To avoid or minimize generation of hazardous and non-hazardous substances and wastes, and promote a human rights-based approach to the management and disposal of hazardous substances and wastes; and 5)To promote safe, effective, environmentally sound pest management.</p> <p><b><u>Scope of Application:</u></b></p> <p>The applicability of this Standard is established during the social and environmental screening and categorization process. Requirements of this Standard apply to projects that (i) aim to improve existing waste management practices; (ii) generate or cause generation of solid, liquid or gaseous waste; (iii) use, cause use of, or manage the use, storage or disposal of hazardous materials and chemicals, including pesticides; and (iv) that significantly consume or cause consumption of water, energy, or other resources<sup>15</sup>.</p>

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

<sup>15</sup> **Pollution prevention:** Avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. Apply international good practices and World Bank Group EHS Guidelines.

**Wastes:** Avoid/minimize generation of waste, ensure recovery, reuse, proper treatment, disposal. Ensure reputable contractors and chain of custody

**Hazardous Materials:** Avoid/minimize release of hazardous In materials. If avoidance not possible, assess health risks, including differentiated effects on women, men, children. No manufacture or use of materials subject to international bans or phase-outs (Stockholm POPs, Montreal Ozone)

**Pesticides:** Apply IPM/IVM, avoid/reduce synthetics, utilize least harmful, prohibit use of WHO Class Ia & Ib pesticides and control Class II, handle per FAO International Code of Conduct

**Resource Efficiency:** Apply feasible, cost effective resource efficiency measures (e.g. reduce water usage) to ensure no significant adverse impacts on others/ecosystems.

Table (3) shows the UNDP's SESs generally, UNDP applies its SES as indicated in the table (2) including SES 2,3, 7,8 and social and environmental management system (SEMS) and stakeholder's engagement and response mechanism (SRM).

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

## 4.1 Conflict

### 4.1.1 Activities That May Result in Conflict Risks

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

### 4.1.2 Management Measures

Management measures include mainly developing a clear definition of targeting and selection criteria based on data provided by the UN Clusters; participatory preparation and implementation of subprojects by communities and relevant stakeholders (refer to ESMF section on Stakeholder Engagement for further detail); frequent communication with communities and local stakeholders; grievance redress/ stakeholder response mechanism procedures to ensure timely handling of grievance redress; and public disclosure of the reasons for the rejection of subprojects, if any, to increase transparency.

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

The following steps are taken to ensure achieving such a goal :

- Through transparent allocation of funds that is based on national statistics indicators in the governorate and district levels, followed by coordination with local actors and inclusive participatory process, PWP/SMEPS will be reducing conflict over resources.
- Selection of the community beneficiaries is based on a transparent eligibility criteria and consultations with communities and local leaders.
- Before implementation and during the participatory consultations with local communities to define the interventions, PWP/SMEPS 's teams analyzes the context in which the project will be implemented to make sure that PWP/SMEPS 's intervention will not cause a conflict or escalate an existing conflict in that particular area. This analysis enables PWP/SMEPS to understand the interaction between the intervention and the context in a particular area. The steps will be as follows:
  - Understanding the context in which the project will be implemented.
  - Carrying out a conflict analysis and sensitivity.
  - Understanding the interaction between the intervention and the Context.
  - Linking the conflict analysis with the programming cycle of the Intervention.
  - Using this understanding to avoid negative impacts and maximize positive impacts.
  - Implement, monitor and evaluate the intervention under a conflict-sensitive approach (including redesign when necessary).
- Ensuring transparency of the procurement process including those of community contracting. Community contracting is a secondary implementation modality by both SMEPS and PWP to maximize the role of communities in managing and implementing specific initiatives. Community contracting involves the target communities, through elected community committees, in planning, implementing and managing development initiatives through community contractors and local suppliers. Therefore, the eligibility conditions for community contractors are less demanding (e.g. no condition of two subprojects experience and financial capability) and the liability is shared between them and the IP, particularly in conducting safeguard training and awareness, recruiting technical staff, enforcing safeguards measures and providing insurance of workers.
- Expected environmental and social impacts (including OHS risks) are identified during the project's preparation and mitigation measures are included in the design and implementation plan. Where

investments are required to implement the measures, ensure reflection of these measures quantified as pay-items in the tender bill of quantities.

- During the implementation process, PWP/SMEPS staff keeps;
  - Monitoring the situation to predict and recognize possible conflicts around the project and try to keep risks at a minimal level.
  - Following-up in order to strengthen the partnership with local authorities and community committees as important players in conflicts resolution.
- PWP/SMEPS does not interfere to resolve existing conflict or be part of any conflict. However, PWP/SMEPS intervention might help in reducing existing conflict.
- PWP/SMEPS might work in an environment where a conflict is prevailing such as the conflicts resulting from the war in some areas in Yemen or are due to tribal conflicts. The staff in such case are fully aware of the conflicts that surround their work and activities, but their project does not deal directly with the conflict.
- The evaluation of LIWP and other community-based interventions found that PWP/SMEPS's intervention increases community solidarity and cooperation.
- PWP/SMEPS complaint mechanism will be a complementing tool to catch shortcomings that may arise, through of the above precaution measures, and deal with them transparently and learn lessons from them to improve performance in future programs. Project-affected people will be informed of the complaint mechanism.

In addition, a Conflict Sensitivity Framework has been developed with the cooperation of UNDP, SMEPS and PWP. This Conflict Sensitivity Framework is designed for use by the implementing supported by UNDP.

It builds on significant work already done by the implementing agencies to develop practical ways of working that are conflict-sensitive – within and beyond the (SFISH) project – and to build staff and organizational capacity on conflict-sensitive practices. This framework directly uses content produced by the implementing agencies, supplemented by tools and guidance from international experiences, and adapted to the unique context in Yemen and the focus of the (SFISH) project. The intention is to facilitate the integration of the framework with the tools and guidance SMEPS and PWP already have in place.

The focus of this framework was mostly on the project level.<sup>16</sup> However, both the implementing agencies are committed to integrating conflict sensitivity across their work and institutionally – although they have different needs. There are also important strategic conflict sensitivity risks and opportunities that are outlined in a separate Conflict Sensitivity Assessment and Conflict Analysis and Conflict Sensitivity Briefing.

While this framework focuses on the WB funded projects, SMEPS and PWP implement many other projects with other donors, and it is important to avoid them having to implement separate frameworks for each donor. As such, the Conflict Sensitivity framework should be seen as one component of a broader set of institutional tools and practices that SMEPS and PWP can take forward beyond the WB funded projects. This approach is in line with the (SFISH) project commitment to enhancing the capacity of local institutions to function effectively during the conflict in Yemen and to provide much-needed – and conflict-sensitive – service delivery capacity in a future, post-conflict context.

All partners are committed to implementing the framework in a way that includes ongoing consultations with SMEPS and PWP managers in headquarters and in the branch offices to draw on their in-depth knowledge of the specific issues in each local context and to effectively respond to the unpredictable context in Yemen. This will also enhance institutional ownership and the usefulness of the framework.

A core characteristic of conflict sensitivity is being able to track and be responsive to the context, which means the framework cannot be applied as a blueprint. Instead, it is designed to provide a structure for conflict sensitive practices that can be used consistently within the (SFISH) project while being adaptable to the specific conditions on the ground. It may therefore be useful to set review points to reflect on how the implementing agencies have not only used this framework, but also what other support they may need to continue pursuing conflict-sensitive practice institutionally.

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<sup>16</sup> This was the focus of the TORs for the assignment to produce the framework, with the aim of promoting consistent, conflict-sensitive practice across Project implementation.

## 4.2 Gender and Social Inclusion

With persistent gender gaps existing even prior to the conflict (i.e. in education, legal restrictions on mobility and decision-making, barriers to female participation in the labor force and in political life, and few opportunities for voice, paid work and entrepreneurial activity), women are more vulnerable to the economic, social and security challenges that result from the conflict and should thus be proactively reached for access to cash to improve their purchasing power for food and basic necessities. The stark gender gaps are influenced by and set within the context of conservative and strict gender norms. The project includes specific actions and design parameters to ensure the inclusion and participation of women. Such design parameters will ensure women are provided an equal opportunity to benefit from the employment opportunities (for example, targeting female-headed households, allowing flexibility in work hours, and providing on-site childcare). Besides a Gender and GBV plan has been developed to eliminate and mitigate any potential risks ( see Annex 8).

Consideration for IDPs, women, people with disability and youth as specific vulnerable groups are included in the targeting as well as type of intervention. Improving the livelihood of the most vulnerable groups is central to poverty reduction and achieving the sustainable development goals. It can contribute to greater social equity, inclusion, cohesion, and human capital formation in Yemen, all of which are critical to breaking the cycle of poverty, deprivation, and social exclusion.

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

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

### 4.2.2 Management Measures

To the extent possible, the (SFISH) project will promote gender equality and the empowerment of women and seek to reduce gender inequalities in access to and control over resources and the benefits of development according to Gender and GBV Plan.

- Sub-projects will ensure that both women and men are able to participate meaningfully and equitably, have equitable access to project resources, and receive comparable social and economic benefits.
- Sub-projects will not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities.
- Sub-projects will ensure precautionary measures are in place to prevent potential exposure of beneficiaries, workers, and affected people to sexual exploitation and abuse.
- Sub-projects will ensure precautionary and control measures are in place to prevent potential exposure of beneficiaries, workers, and affected people to health and safety hazards.

The project will build upon existing services and pilot new approaches to improve the quality of targeted social care services and economic opportunities for people with disabilities. The (SFISH) project has mainstreamed gender issues and is addressing gender equality from project identification, site selection, management and oversight. Appropriate management measures taken by the project are explained below. UNDP projects have actively targeted women to support their income-generation opportunities and contribute to the delivery of community service and livelihood assets through Cash for Work (CfW) and Cash for Services (CfS) as well as Cash for Nutrition(CfN), and through earmarked funding dedicated to address severe and acute malnutrition for pregnant and lactating women (and children) by providing cash assistance (mothers are the recipients) and facilitating the affected families' access to nutrition services.

To ensure women are targeted by the project, women are encouraged to participate by measures that make their participation easier and acceptable to households and the community: allowing flexible hours of on-site work, providing on-site childcare (this will also hire a caregiver from the community), having the subproject at the community level and at a location close to the villages, and by consulting women on the types of subprojects they can participate in. However, although women are ostensibly excluded from the primary fishing sector, they may participate in some pockets of subsistence fishing. For example, in Yemen, where

fishing is a strictly male activity, women in a few villages are reported to have their own boats and directly engage in fishing<sup>17</sup>.

The participation of women in country 's fisheries sector operations is very limited. There are only a few places (Aden, Lahej and Al-Mahara) where women, mostly from the low social status groups, are actively involved in fisheries-related work. In urban areas women are more commonly employed in fisheries related activities: some 45% of the employees of fish processing plants are women, as are many employees of quality control laboratories. In the private sector (fish processing plants), women are involved actively and constitute 40 – 60% of the work force. At the community level, in some regions (near Al-Kowkha) women are involved in catching small fish using small ring/swing nets near the coastal beach line for local markets. It is reported that in some regions (Al-Khowbha) they were involved in smoking, drying and salting of the fish for local markets. In some regions (Abyan), they help fishermen during the post-harvest operations of handling and transportation. Women in fishing communities can play an important role in fish production and their role encompasses social and economic responsibilities, both within and outside the family. At the community level, the project will provide a window of opportunity to access the finances necessary for both sector modernization and for diversification of livelihood strategies.

### 4.3 Biodiversity and Natural Resources

Conserving biodiversity, maintaining ecosystem services, and sustainably managing natural resources are fundamental to sustainable development. The (SFISH) project will seek to maintain and enhance the goods and services provided by biodiversity and ecosystems in order to secure livelihoods, food, water and health, enhance resilience, conserve threatened species and their habitats, and increase carbon storage and sequestration. (SFISH) project will also promote sustainable use of natural resources to support livelihoods of vulnerable communities as well as benefit sharing between biodiversity conservation and livelihoods restoration. All project construction activities are not expected to pose any adverse impacts on the natural conservation/ protected areas. As a precautionary approach, the ESMF has included an E&S screening tool to ensure that no project activities to be financed will have significant impacts on critical natural habitats (Annex 1). The relevance of this ESS will be further discussed and assessed during the preparation of subproject's ESMP. Mitigation measures will be in place to protect or minimize the adverse impacts to aquatic ecosystems during construction (e.g. increased water turbidity, accidental pollution from spillage of construction materials and leakage of oil and grease).

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

The project will intervene in fisheries and water resources.

##### Fisheries (Low to Moderate Risk)

The project will promote the sustainable management and harvesting (fish and all other types of aquatic organisms) of living natural resources. The project's physical interventions will be limited to the existing footprint such as roads, landing sites and fish markets and proposed activities are not anticipated to result in any significant threats against biodiversity and habitats. The project might impact ecosystems and aquatic systems due to use of chemicals and antibiotics in mariculture; increase of nutrients loads and untreated wastewater; air pollution and noise due to operation of fishing vessels. The project does not intend to support any intervention which might lead to introducing alien or non-native species in the project areas.

There is a low risk that the project may impact on biodiversity and natural resources through overexploitation of fisheries. Potential engine hazards (fire) and loss of power which are a major cause of accidents for small fishing boats (which often lack basic safety equipment, are too small and otherwise unsuitable for offshore operations).The small boat engines are not used in deep waters, consequently this reduces the possibility of

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<sup>17</sup> The gender wage gap in 2015, comparing the average wage of women with that of men in the agriculture, forestry and fisheries sector, was 39 per cent.<sup>562</sup>. The sector wage gap in 2015, defined as average wages of women in the agriculture, forestry and fisheries sector compared to average women's wages across sectors, was 54 per cent.  
<https://www.unwomen.org/sites/default/files/Headquarters/Attachments/Sections/Library/Publications/2020/Womens-economic-empowerment-in-fisheries-in-the-blue-economy-of-the-Indian-Ocean-Rim-en.pdf>

overfishing additionally fishermen will use traditional methods of fishing. Some of the fishermen will be equipped with fish finders, to help expedite the search of the fish and thus economize the use of fuel. The design of this activity under The (SFISH) project has provisions to ensure sustainability, and the project will carefully monitor the activities of the fishermen during its implementation. This will include relevant training and capacity building for artisanal fishermen to ensure such risks are mitigated.

It should be mentioned that the project will ensure sustainable use of fisheries resources through enhanced institutional and governance capacity, technology transfer and capacity building in science-based but practical and context specific sustainable management practices and controlling of fishing effort level that do not impair resource productivity underpins the proposed operation. In addition, by incorporating key elements of sustainable fishery and scaling up the use of innovative technologies, the program aims to make a first step towards a sustainable blue economy in the region.

#### 4.3.2 Management Measures

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

**Precautionary approach:** The (SFISH) project applies a precautionary approach to the use, development, and management of natural habitats, the ecosystem services of such habitats, and living natural resources.

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

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

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

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

In addition to the general requirements related to management measures as stated in the section above, project context specific management measures were identified for each sector. Capacity building and awareness raising towards the use of pesticides and fertilizers will be given to beneficiaries to address the risks and mitigation measures needed.

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

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

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

**Project specific management measures in addition to standard SES UNDP to be developed based on the local context:**

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

#### 4.4 Climate Change

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

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

The (SFISH) sub-projects will aim to be sensitive to climate change risks and not contribute to increased vulnerability to climate change.

##### 4.4.1 Activities That May Result in Climate Change Impacts and Risks

The (SFISH) project activities related to fisheries, will be most sensitive and vulnerable to the impacts of climate change. Infrastructure in areas of potential flooding may also be at risk.

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

##### 4.4.2 Management Measures

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

- a) Potential project-related increases in emissions that may exacerbate climate change, such as GHG emissions and black carbon emissions.
- b) The viability or longer-term sustainability of project outcomes due to potential climate change. This will involve the identification of components that are sensitive or vulnerable to emerging or anticipated manifestations of climate change.
- c) Risks that a project may increase exposure to climate change. Project components must be assessed for potential unintended or unforeseen increases in vulnerability to climate change.
- d) Potential social, gender, and age risks, based on the differentiated impacts of climate change.

e) Opportunities for (i) facilitating adaptation via synergies with existing or planned activities, (ii) combining mitigation (e.g., reduction in GHG emissions) and adaptation measures, and (iii) exploiting potentially beneficial changes in climatic or environmental conditions to deliver developmental benefits.

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

The (SFISH) project will avoid or minimize the risks and impacts to community health and safety that may arise from project-related activities, with particular attention given to marginalized groups. This includes Occupational Health and Safety (OHS) risks. Labor is one of a country's most important assets in the pursuit of poverty reduction. Respect of workers' rights and the provision of safe working conditions are keystones for developing a strong and productive workforce. The (SFISH) project applies the World Bank Group Environment, Health and Safety (EHS) guidelines. The project does not involve construction or rehabilitation of dams or depend on water supply from existing dams. Therefore, standard measures in the World Bank Group's Environment, Health, and Safety Guidelines (EHSG) to ensure the community health and safety of communities during the construction and operation of project financed infrastructure should suffice. These include the measures in general facility design and operation, communication and training, and the measures to address physical hazards, chemical hazards, personal protective equipment, special hazard environments, and monitoring.

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

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

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

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

Moreover, implementing partners and members of community organizations, would be interacting with communities to inform them about the subprojects and support them to prepare the applications. These interactions would increase the risk of exposure to the Covid-19 virus for these workers and also the risk for the communities, especially if proper hygiene, safety precautions and social distancing measures are not adhered to.

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

Project activities that may trigger such risks to local communities and workers are detailed under the "Hazard identification, risk assessment and determining controls" section of the latter report and in the UNDP's Social and Environmental Screening Procedure and Bank ESF are listed below:

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

#### 4.5.2 Management Measures

Appropriate management measures have been put in place. A detailed OHS risk categorization was developed for the purpose of identifying sub-project level risks to enable halting any salient high-risk projects from further implementation until adequate management measures are put in place. Additionally, support to the Responsible Parties has been reinforced by training and monitoring and capacity assessments.

**Community health and safety:** Community health and safety refers to protecting local communities from hazards caused and/or exacerbated by project activities including flooding, landslides, contamination or other natural or human-made hazards, disease, and the accidental collapse or failure of Project structural elements. Project-related activities may directly, indirectly, or cumulatively change community exposure to hazards. A significant concern with major development projects is the spread of communicable diseases such as the Covid-19 from the workforce to the surrounding communities.

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

**Infrastructure and equipment design and safety:** Structural elements will be designed and constructed by competent professionals and certified or approved by competent authorities or professionals. Structural design will take into account climate change considerations, as appropriate. Sub-projects with structural elements or components whose failure or malfunction may threaten the safety of communities, will ensure that: (i) plans for Project supervision, operation, and maintenance are developed and monitored; (ii) independent expertise on the verification of design, construction, and operational procedures is used; and (iii) periodic safety inspections are carried out.

**Safety of services:** Where the project involves provision of services to communities, UNDP will establish and implement appropriate quality management systems to anticipate and minimize risks and impacts that such services may have on community health and safety.

**Traffic and road safety:** The potential traffic and road safety risks to workers, affected communities and road users will be identified, evaluated and monitored throughout the project life cycle and, where appropriate, measures and plans will be developed to address them. All road safety incidents and accidents shall be recorded and reported to identify negative safety issues and establish and implement measures to resolve them.

**Ecosystem services:** Where appropriate and feasible, responsible parties will identify the project's potential risks and impacts on ecosystem services that may be exacerbated by climate change. Adverse impacts will be avoided, and if they are unavoidable, appropriate mitigation measures will be implemented.

**Management and safety of hazardous materials:** The responsible parties will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the project. Where there is a potential for the public (including workers and their families) to be exposed to hazards, particularly those that may be life threatening, special care will be exercised to avoid or minimize their exposure by modifying, substituting, or eliminating the condition or material causing the potential hazards. Measures and actions to control the safety of deliveries of hazardous materials, and of storage, transportation and disposal of hazardous materials and wastes will be implemented, as well as measures to avoid or control community exposure to such hazardous material.

**Emergency preparedness:** Responsible Parties will be prepared to respond to accidental and emergency situations in a manner appropriate to prevent and mitigate any harm to people and/or the environment. This preparation, reflected in planning documents, will include the identification of areas where accidents and emergency situations may occur, communities and individuals that may be impacted, response procedures, provision of equipment and resources, designation of responsibilities, communication, and periodic training to ensure effective response. Risk hazard assessment (RHA) will be conducted, as part of the environmental

and social assessment. Based on the results of the RHA, the Recipient will prepare an Emergency Response Plan (ERP) in coordination with the relevant local authorities and the affected community, and will take into account the emergency prevention, preparedness and response arrangements put into place with project workers.

An emergency response plan will include: (a) engineering controls (such as containment, automatic alarms, and shutoff systems) proportionate to the nature and scale of the hazard; (b) identification of and secure access to emergency equipment available on-site and nearby; (c) notification procedures for designated emergency responders; (d) diverse media channels for notification of the affected community and other stakeholders; (e) a training program for emergency responders including drills at regular intervals; (f) public evacuation procedures; (g) designated coordinator for ERP implementation; and (h) measures for restoration and cleanup.

The emergency preparedness and response activities will be periodically reviewed and revised, as necessary to reflect changing conditions. The differential impacts of emergency situations on women and men, the elderly, children, disabled people, and potentially marginalized groups will be considered, and the participation of women in decision-making processes on emergency preparedness and response strategies will be strengthened. Appropriate information about emergency preparedness and response activities, resources, and responsibilities will be disclosed to affected communities.

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

**Gender-based Violence (GBV)/Sexual Exploitation and Abuse (SEA)/Sexual Harassment (SH):** Sub-projects will ensure that gender sensitive interventions are mainstreamed across all project components, creating pathways for employment and participation in society and playing a key role in building resilience to shocks, improving livelihoods and mitigating social constraints. A GBV assessment will be undertaken for subprojects prior to implementation to have a sense of potential GBV, Sexual Exploitation and Abuse (SEA)/SH. The assessment will be conducted to cover activities that include interaction between male workers and female beneficiaries and labourers provided by contractors. The project will prepare a Gender Action Plan.

**Labor influx:** As civil works are expected to be of small-scale and implemented by local contractors, labor influx is expected to be low. No labor camps are expected to be set up for the project. In some cases, worker unavailability or lack of technical skills and capacity among local community will require the implementing partner/ contractor to bring skilled labor from outside the project area. Depending on the size and the skill level of the local workforce, a share of the workers required for the project will be recruited locally. This is generally easier for unskilled workers, while more specialized staff (typically required in smaller numbers) frequently will be hired from nearby communities, hence no camps will be required. UNDP, PWP, SMEPS will ensure Transparent local community engagement and participation during initial project decision-making and continue routinely throughout the life of the project through GRMs to ensure effective Information disclosure, community involvement.

**Work standards:** Sub-projects will comply with national labor and occupational health and safety laws, with obligations under international law, and consistency with the principles and standards embodied in the International Labor Organization (ILO) fundamental conventions, including freedom of association, elimination of discrimination in employment and occupation, elimination of forced or compulsory labor, and elimination of the worst forms of child labor. The (SFISH) project will not employ people under the age of 18; however, youth that are 16-17 years old may be eligible for employment training and capacity building. Hence documentary evidence (passport, identity card or birth certificate) of all workers prior to involving them on activities of the project, shall be verified. This applies for: Direct workers, contracted workers, and community workers.

**Occupational health and safety:** Occupational health and safety refers to protecting workers from accident, injury or illness associated with exposure to hazards encountered in the workplace. Hazards can arise from

materials (including chemical, physical and biological substances and agents), environmental or working conditions (e.g. oxygen-deficient environments, excessive temperatures, improper ventilation, poor lighting, faulty electrical systems), or work processes (including tools, machinery and equipment).

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

Workers will be provided with a safe and healthy working environment, taking into account risks inherent to the particular sector (including gender bias) and specific classes of hazards in the work areas. Steps will be taken to prevent accidents, injury, and disease arising from, associated with, or occurring during the course of work and will ensure the application of preventive and protective measures consistent with the World Bank Group's Environmental, Health, and Safety Guidelines and other international good practice, as reflected in internationally recognized standards. The involved workers will be insured, and the insurance payment will be covered directly by the IP in case of direct implementation modality and as a pay item through bills of quantities in the bidding documents in case of contracting modality. UNDP in cooperation with IPs has developed an OHS framework that details all the guidelines and requirements under the (SFISH) project. Please refer to the OHS Framework for details (Framework for Actions on Occupational Health and Safety (Annex 4)

**Security-related issues:** Sub-projects under the (SFISH) project do not engage security personnel. In case sub-projects do require involvement and engagement of security personnel to protect facilities and personal property, security arrangements should be provided in a manner that does not violate human rights or jeopardize the community's safety and security. Potential risks posed by security arrangements to those within and outside the project area will be assessed, those providing security will be appropriately vetted and trained, and security arrangements will be appropriately monitored and reported.

## 4.6 Cultural Heritage

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

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

### 4.6.1 Activities That May Result in Cultural Heritage Impacts and Risks

The level of risks and negative impacts varies, dependent on the work locations, typology and scale of the works, environmental and social baseline conditions, sensitivity of the receptors. The proposed sub-projects are located in the planning/existing area for existing footprint such as roads, landing sites and fish markets. They do not expect to have adverse impacts on critical habitat or forests, archaeological and historical sites. It is anticipated that these sub-projects are mostly taken place in modified habitats or in the area that are heavily disturbed by human activities. The risk rating will be assessed in detail during the preparation of each subproject.

## 4.6.2 Management Measures

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

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

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

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

**Chance find procedures:** When the social and environmental assessment process determines that Cultural Heritage is expected to be found in the project area, chance find procedures will be included in the ESMP. In case of a suspected chance finds is located the following steps will be followed:

- 1- work at subproject site will be suspended immediately
- 2- technical engineer to notify the consultant engineer and subproject officer immediately
- 3- the area will participate to prevent any damage to the area.
- 4- Competent specialist will conduct investigation on the area to evaluate the situation
- 5- Implementing partner will initiate communication with concerned governmental agency.
- 6- Implementing partner will prepare a report detailing the location, time and the finding and what steps has been taken.

Chance finds will not be disturbed until an assessment by a competent specialist is made and actions consistent with these requirements are identified.

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

## 4.7 Pollution Prevention and Resource Efficiency

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

The project will provide investments for restoring infrastructure and improving fish and marine aquaculture value chain, particularly the road rehabilitation works under sub-component 2.1. Inadequate management of project's activities can lead to pollution of soil, water, air, and cause harm to people and environment. Given the nature and scale of the physical interventions foreseen under the project, it is not expected that the project will make significant use of resources such as water, energy, and raw materials. In addition, it is not expected that the activities will significantly generate major pollution. During the operation phase, fish processing activities can generate solid wastes and by-products, wastewater, and odor. Fish processing activities may generate potentially large quantities of organic waste and by-products from inedible fish parts. The process generally also requires large amounts of water, primarily for washing and cleaning purposes, but also for the storage and refrigeration of fish products before and during processing. Management and

disposal of wastewater could become therefore an environmental concern. The project is not expected to produce significant emissions of greenhouse gases. The project intends to provide support to the development and promotion of mariculture. The activities to be financed will include the construction and operation of a multispecies hatchery. Some amount of mariculture related wastes might be generated and will need to be managed. Other impacts which might be generated include potential of water pollution and of aquatic systems due to sludge from fish farms, hazardous waste such as pesticides, chemicals and antibiotics used in hatcheries and mariculture, agrochemical containers. The ESMF and subsequent site-specific ESMPs will identify any measures which will be required to ensure efficient use of water and energy, as well as proper disposal of wastes associated with implementation of activities. Furthermore, World Bank EHS Guidelines are applicable to this project including the general EHS guidelines, and EHS guidelines for Aquaculture (2007).

**Solid waste generation:** The solid wastes may include (i) wastes from construction site preparation (cut-down trees and vegetation cover clearance, demolished debris) (ii) construction solid wastes include packaging materials such as cement bags, wood and iron scraps, debris, contaminated excavated soils, false samples/materials; (iii) domestic solid wastes from worker camps (mainly organic wastes from food preparation, redundant food, and inorganic packaging materials, etc.); Some of the construction wastes such as usable excavated soils, construction materials can be reused for beneficial purposes such as ground leveling. Some wastes such as packaging materials can be recycled. Inorganic construction waste, if not properly loaded and disposed of, would occupy spaces at/surrounding the construction sites, affecting the landscape and may pose safety risks for the pedestrians/traffic passing by. The volumes of domestic wastes generated from worker camps depends on the number of workers reside on site. If not properly collected and disposed of, these may generate bad odors, cause nuisance to the public, attract disease-causing vectors such as flies and rats which pose health risks to the workers and local communities.

**Hazardous wastes generation:** Hazardous waste may be generated at construction sites may include waste oil, bitumen, used containers of paints and solvent etc. If not properly stored and disposed of, these types of construction waste would cause serious soil and water pollution, lead to environment hazard and/or affecting public health.

**Domestic wastewater generation:** Domestic wastewater including sewage and grey water shall be generated from workers camps and construction sites. The wastewater may contain high concentration of organic substances, nutrients and pathogens. If not properly collected and treated before discharging into water bodies, such wastewater may generate bad odors (particularly from stagnant wastewater), cause soil and water pollution, affecting the vegetation cover, aquatic lives and people health.

**Water quality reduction:** Runoff passing the excavated/disturbed land can bring soil particles and other pollutants into water bodies causing increased water turbidity. In addition, the surface runoff passing uncovered areas of fuel storage / machine repair at construction sites may also wash some wasted oil and other contaminants into water bodies, causing water pollution. On the other hand, as discussed above, domestic wastewater discharged from the construction sites may also cause water pollution from increased organic matters (BOD), nutrient loads (N) and pathogens. Water quality reduction would cause negative impacts on aquatic lives as discussed below or affect other water users.

**Negative impacts on aquatic life:** As discussed above, wastewater and surface runoff from camps and construction sites may cause increased water turbidity, organic matters (represented by BOD), N, oil and grease contents in the receiving water bodies. Increased water turbidity would obstruct sunlight to reach aquatic flora, leading to reduction in photosynthetic capacity. Increased suspended solids in water may also obstruct inspirations of aquatic fauna. Decomposition of organic matters would lead to reduction of Dissolve Oxygen (DO) in water, affecting the development of aquatic life. Oil and other hazardous substance may cause harm or even kill aquatic lives. Therefore, wastewater from construction sites should be properly managed, particularly at locations with high fishery resource values.

#### 4.7.2 Management Measures

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

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

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

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

**Hazardous materials:** Projects will avoid or, when avoidance is not feasible, minimize and control release of hazardous materials resulting from their production, transportation, handling, storage, and use. Where avoidance is not possible, the health risks, including potential differentiated effects on men, women, and children, of the potential use of hazardous materials will be addressed in the social and environmental assessment. Projects will consider the use of less hazardous substitutes for such chemicals and materials and will avoid the manufacture, trade, and use of chemicals and hazardous materials subject to international bans or phase-outs due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential for depletion of the ozone layer.

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

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

Capacity building and awareness raising towards the use of pesticides and fertilizers will be given to beneficiaries to address the risks and mitigation measures needed

## 5 Procedures to Address Social and Environmental Risks and Impacts

### 5.1 Sub-Project Screening and Classification Requirements

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

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

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

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

Screening results inform final appraisal and sub-project approval. An initial gap analysis shows that PWP and SMEPS screening processes are generally aligned with SES requirements, as described below

#### 5.1.1 PWP Sub-projects

An Environmental and Social Screening Checklist is applied for sub-projects implemented by PWP. The screening results in one of the following classifications and is signed by the PWP engineer and PWP environmental specialist:

- Low: no adverse impacts
- Moderate: has some minor impacts
- Substantial: has a substantial impact
- High: has a high adverse impact

All high-risk subprojects will not be implemented and will be excluded. The first is undertaken during application of selection criteria by the Environmental and social specialist assigned by PWP. Those that do not meet criteria for improvement in environmental conditions will be rejected at the outset.

Screening results and classification inform final appraisal and approval of a sub-project. Sub-projects will be grouped into annual and/or quarterly investment programs to be submitted to the PWP Internal Management Committee for approval. Social and environmental screening results will be included in the submission. Screening results in substantial and moderate will require development of ESMPs by PWP safeguard team and will be sent to UNDP and WB for clearance as well as be recorded in the MIS.

### 5.1.2 SMEPS Sub-projects

SMEPS undertakes screening of the subproject proposals and classifies subprojects into high, substantial, moderate, and low. The classification is based on the significance of impacts which depend on the type, location, sensitivity, and scale of the subproject and the nature and magnitude of its potential environmental impacts. Accordingly, Low Risk are those which are known to have no adverse environmental and social impacts and accordingly will not require any further assessment or follow-up. Substantial risks are those that are likely to have limited adverse environmental and social impacts that are temporary and/or site specific and can be reduced/avoided/mitigated with the implementation of appropriate mitigation measures, and these subprojects would require a scoping to be undertaken and a limited site specific Environmental and Social Management Plan is prepared. High Risk will be excluded from funding.

At the design stage, a checklist of expected environmental and social impacts to be addressed is completed. This is an important stage as it will pave the way for the implementation and operation stages. All the expected environmental and social impacts will be identified at this stage and the mitigation measures will be designed and incorporated in the subproject design and tender documents, particularly, in the BoQ so that it becomes obligatory.

SMEPS will develop ESMPs regarding MFI and MSME and applies the WB's ESSs and UNDP's SESs, if the risk is categorized as moderate or substantial. ESMPs will be sent to UNDP and WB for clearance as well as be recorded in the MIS.

SMEPS will pursue its objective of sensitization about E&S risks through creating awareness amongst MFIs and the microfinance clients that MFIs work with to facilitate and promote:

- Proper implementation and institutionalization of E&S risk management measures;
- Identification and mitigation of E&S risks involved in SMEP's guarantee scheme to MFIs;
- Fulfillment of E&S legal;
- Measuring, monitoring, reviewing and reporting E&S risks of the Project's portfolio.

#### **Environmental and Social Due Diligence for MFIs:**

In agreeing to participate in the Project, SMEPS and each MFIs (and FIs) partners accept responsibility to the World Bank for mandatory screening, assessment, and management of the environmental and social risks and impacts of proposed transactions taken under the Project in a manner that is consistent with World Bank E&S Standards as well as the financial institution's corporate practices and policies for Corporate Responsibility.

All MFIs portfolio guarantees to be extended by SMEPS under this Project should be subjected to an environmental and social review process. All SMEPS partners should use these procedures in reviewing and appraising sub-project applications, and to inform sub-grantees of environmental requirements for investment/guarantee appraisal, so that sub-projects can be implemented in an environmentally and socially sound manner.

## 5.2 Site-Specific Assessment and Management Requirements

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

The UNDP SES and the World Bank Environmental and Social Framework' require that in all cases relevant social and environmental assessments and adoption of appropriate mitigation and management measures be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts.

OHS framework will be incorporated in site-specific ESMPs so that it is effectively implemented, and its implementation is properly monitored. Site specific Environmental Management Plan (ESMPs) shall include occupational health and safety measures: safety of workers and other persons, noise, maintenance of equipment, prevention of spread of diseases, debris, cleanliness, ease of movement, any social disputes and general appearance of the subproject including tree planting, etc.

The IPs shall establish, implement and maintain procedures to monitor and measure OH&S performance on a regular basis. These procedures shall provide for: both qualitative and quantitative measures, proactive and reactive measures of performance.

All site-specific assessments and management plans will be **cleared by World Bank and UNDP** and recorded in the MIS. In cases where similar activities are being conducted in a particular region, these activities may be grouped and covered under one site-specific ESMP. All ESMPs will be available upon request.

## 6 Institutional Arrangements and Capacity Building

### 6.1 General Management Structure and Responsibilities

#### 6.1.1 World Bank

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

#### 6.1.2 Project Board (Biannual Review Meetings)

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

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

#### 6.1.3 UNDP

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

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

#### **Project Management Team**

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

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

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

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

### **Project Oversight and Assurance**

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

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

#### **6.1.4 Responsible Parties**

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

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

The top management of the Responsible Parties is ultimately responsible for implementation of the ESMF within all sub-projects that are part of the (SFISH) project. The top management shall demonstrate its commitment by ensuring the availability of resources essential to establish, implement, maintain and improve implementation of the ESMF; defining roles, allocating responsibilities and accountabilities, and delegating authorities, to facilitate effective ESMF implementation. Responsible Parties shall be responsible to develop, implement and monitor contractors.

Implementing partners has a safeguard team including GRM team based in Headquarters to oversee the implementation of the environmental and social requirements supported by focal points in each branch as well as assigning responsibilities to staff working in field. Responsible Parties' staff in their capacity at head

office and branch offices will be responsible for engagement and management of contractors. The field staff are assisted by Supervisory Consultants, and technical engineer, and safeguards focal point in branch offices for the management of contractors and workers, ensuring compliance and monitoring of activities and providing labour instructions on safety and security. During the implementation phase of the services, UNDP, SMEPS and PWP will organize planned and unplanned visits to contractors' offices and/or places where work is being performed. In these visits the progress achieved, health and safety-related issues and child and forced labour employment status will be observed. The site reports will include the KPIs for contractor management and the outputs will be reflected in the monthly reports. In case of non-compliance by the contractors, corrective actions will be taken.

ESMPs will be prepared by SMEPS and PWP and will be cleared by the Bank and UNDP.

Environmental and social management duties is assigned to **site engineer** and technical engineers (Responsible Parties) and **site manager** (contractors). They have been trained in social and environmental risk management and have direct access and reporting channels to most senior management level. Some of the duties of the site engineer/manager include:

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

Technical engineer duties will include :

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

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

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

### 6.1.5 Third Party Monitors

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

Reporting templates/checklists incorporate social and environmental risk monitoring, Gender and social issue and includes monitoring implementation of agreed management measures. Each TPMA report includes a specific section to address the OHS, GRM, Environmental, and social implementation in the subprojects. Regular meetings with TPM team, Ips and UNDP are in place to discuss the findings and improve the tools.

## 6.2 Capacity Building and Training

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

All project personnel will attend an initial induction training of relevant ESMF requirements, including health, safety, environment and cultural heritage requirements, LMP, OHS, SEP, GBV Action Plan, Security Management Framework.

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

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

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

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

## 7 Stakeholder Engagement and Information Disclosure

### 7.1 Principles for Meaningful, Effective and Informed Stakeholder Engagement

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

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

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

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

## 7.2 Information Disclosure

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

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

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

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

The SES contain requirements for the disclosure of screening reports; draft and final social and environmental assessments and management plans; and any required social and environmental monitoring reports. For further detail on UNDP SES stakeholder engagement and information disclosure requirements please refer to the UNDP guidance [UNDP Guidance on Stakeholder Engagement](#) -Annex 3. The ESMF LMP, and SEP will be disclosure with representatives of stakeholder groups in Arabic language during consultation meeting, and at IPs branches and beneficiaries' locations.

### 7.3 The (SFISH) Project Systems in Place for Stakeholder Engagement and Information Disclosure

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

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

The principles for sub-project cycle identification, development, and management specify that communities are involved from the outset in the selection and design phases, through project closure with disseminating hard copies for ESMF, GRM and others. To engage communities and reduce potential risks of conflicts between stakeholders over sub-projects a careful selection criterion was developed by UNDP and Responsible Parties. While laying out an objective set of criteria, and national data-based distress index, communities are also called upon to participate at the municipal level to engage in prioritization of community projects and identification of beneficiaries.

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

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

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

The TPMA also helps ensure stakeholders have been duly consulted and monitors their level of satisfaction with the (SFISH) project including with the sub-project selection criteria. TPM surveys have verified implementation of planned interventions, adherence to agreed implementation procedures, quality of implemented interventions, beneficiaries and community satisfaction on various aspects of project interventions and its effects/impacts on targeted beneficiaries and communities. Women and men, youth are interviewed separately to enable meaningful participation by marginalized groups.

In addition, A stakeholder engagement plan SEP for the (SFISH) project has been developed. The SEP recognizes the importance of open and transparent engagement between the Recipient and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a

significant contribution to successful project design and implementation. Stakeholder engagement is an inclusive process conducted throughout the project life cycle. Where properly designed and implemented, it supports the development of strong, constructive, and responsive relationships that are important for successful management of a project's environmental and social risks.

The overall objective of this SEP is to define a plan of action for stakeholder engagement, including technically and culturally appropriate approach to public consultation and information disclosure, throughout the entire project cycle. The SEP outlines the ways in which the project team will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about project activities.

The involvement of different stakeholders, including the local population and fishers is essential to the success of the project in order to ensure smooth collaboration between project staff and local communities.

The SEP focuses on:

- Identifying direct and indirect adversely affected or may be affected, and who will need additional information to understand the limits of project impacts;
- Mapping the project impact zones and locating the affected communities within a specific geographic area can help define or refine the project's area of influence;
- Engaging and consulting the project' beneficiaries in the planning, implementation, monitoring and reporting process;
- Enhancing participatory approaches in all project cycles by each selected community with SWF families, and other families with pregnant and locating women and children;
- Ensuring confidentiality and social protection to the disadvantaged, indigenous and marginalized groups through the use Stakeholder Response Mechanism (GRM) that provides an opportunity for the affected people to response and grief for any problems and concerns in confidentiality and anonymity;
- Mainstreaming human rights, women empowerment, full participation, transparency, information disclosure, and environmental sustainability in all project's actions; and
- Building robust, innovative and transparent Information Management System (MIS) that reflect all activities, and which are implemented in accordance with the project identification and proposal.

#### 7.4 Project-Level Grievance Redress Mechanism

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

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

The Grievance Redress Mechanism:

- a. provides a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
- b. allows simple and streamlined access to the Grievance Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
- c. provides clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;

- d. ensures equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
- e. provides a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
- f. enables continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.

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

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

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

- a. time, date and nature of enquiry, concern, complaints and/or grievances;
- b. type of communication (e.g. telephone, letter, personal contact, site box , SMS , email);
- c. name, gender, contact address and contact number if available;
- d. anonymity complaints are also registered, investigated and solved
- e. response and review undertaken as a result of the enquiry, concern, complaints and/or grievances; and
- f. actions taken and name of the person taking action.
- g. In case the complainant is not satisfied with resolution and settlement of the complaints, he/she escalates the cases to higher level (five levels of escalation the complaint).
- h. IPs' GRM system will settle and mitigate the GRM at three levels (field, branch and HQ offices)
- i. UNDP will investigate the case doesn't solve at IPs' three levels, at project level, UNDP Country Office in Yemen, also at UNDP regional office in Amman/Headquarter office in NY. Also UNDP will share the highest escalated cases with WB.<sup>18</sup>

The project GRM is managed by PWP and SMEPs who have a grievance mechanism in place. UNDP will work with the Responsible Parties to assess the effectiveness of existing GM and work to address capacity, accessibility, transparency, gaps, etc.

In cases complaints are not resolved by IPs, they should be escalated to UNDP for further investigation, study and closure. Complaints Handling Mechanisms (HCM) will be applied as following:

- IPs GRM will apply, and will activate at three levels of compliant settlement (at 1<sup>st</sup> field, 2<sup>nd</sup> branch, 3<sup>rd</sup> Head Office levels);
- The TPM Call Center will be assigned by UNDP to verify the lists of complaints on monthly basis and provide a report. IPs therefore will need to share GRM list bi-weekly (perhaps through linking to the new MIS)
- UNDP will dedicate a number (call, sms, WhatsApp) for complainants who might not be satisfied with IPs' resolution and would want to escalate to higher level (4<sup>th</sup> level of HCM).

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<sup>18</sup> the complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle ([www.undp.org/secu-srm](http://www.undp.org/secu-srm)). Complainants also have access to the World Bank's Inspection Panel ([www.inspectionpanel.org](http://www.inspectionpanel.org)). TPM Reports and the ESMF stakeholder consultations noted that there was little awareness by project-affected people of the GM and their options. This will be an area to be strengthened moving forward.

- IPs will ensure that the dissatisfied complainants are well-informed to the UNDP's dedicated number. TPM may also assist in this issue, by calling all complainants and refer the dissatisfied ones to the 4<sup>th</sup> level of UNDP)
- If still complainant is dissatisfied after UNDP's intervention, another level will be introduced to escalate to UNDP SRM HQ (UNDP Regional office).
- Complainants may also opt to use judicial procedures or arbitration.

## 7.5 UNDP Accountability Mechanism

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

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

## 8 Monitoring, Reporting and Evaluation of ESMF Implementation

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

Amendments will be made to the ESMF if:

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

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

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

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

The Project Manager will prepare:

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

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

### **8.1 Monitoring and Reporting Indicators:**

UNDP with its partners agreed and discussed several indicators that can be used for Gender and GBV/SEA reporting and monitoring that not limited to:

- Number of Children promoted to work under/ above 18
- Number of women and men discriminated based on gender, disability, and age
- Number of training conducted on preventing gender discrimination. GBV and SH
- Number of GBV/SH survivor referred to services providers or legal support with high confidentiality
- Number of work of GBV/SH complains received and registered in GRM
- No of skilled/all workers signed COC.
- No of training and capacity building provided to senior management staff, gender specialists, FPs, community members on Gender/GBV and SEA
- Number of awareness raising conducted and contact number/GRM provided
- Number of male and female workers.

Occupational Health and Safety Indicators for reporting and monitoring include but not limited to:

- Incidents / anomalies reports
- Monthly reports
- Events analysis & synthesis
- Root case analysis and safeguard corrective action plan
- Safety Feedback Notice
- Incidents/ anomalies action plan
- Project/ Site OHS Plan
- Risk assessment register
- Safeguard training records
- Field visits records
- Emergency response plan

### **8.2 Management Information System (MIS)**

Both PWP and SMEPS have a Management Information System in place to record project information and monitoring results. The MIS provides an important mechanism to track information on environmental and social safeguard implementation. A review will be conducted to identify opportunities to strengthen environmental and social safeguard elements in the MIS. UNDP MIS is under implementation and will include safeguard reporting, monitoring and KPI indicators.

### **8.3 Sub-Project Self-Monitoring and Reporting**

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

The Responsible Parties will be responsible for the day-to-day compliance of the ESMF at the specific project site. The Responsible Parties will maintain and keep all administrative and social and environmental records which would include a log of complaints and incidents together with records of any measures taken to mitigate the cause of the complaints or incidents (see below sections on incident reporting and on complaints). Implementing partners will prepare a monthly report that includes (training, GRM, Accidents, working hours,

field visits, and other highlights) and will be submitted to UNDP. A quarterly report that summaries the safeguard highlights will also be prepared by IPs and submitted to UNDP.

### 8.3.1 Social, environmental and OHS incident reporting

Any incidents, including non-conformances to the procedures of the ESMF, are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or significant social and/or environmental harm, the site supervisor/designated officer shall notify the Responsible Party senior management and the (SFISH) project Manager as soon as possible and no later than **24 hours**. UNDP will also ensure significant incidents are reported to the World Bank within 48 hours. The Responsible Party must cease work until remediation has been completed as per the approval of Project Manager. All accidents are also kept in the register log at subproject site.

### 8.3.2 Daily and weekly inspection checklists

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

### 8.3.3 Corrective Actions

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

## 8.4 Sub-Project Third-Party Monitoring and Reporting

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

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

## 8.5 Monitoring Plan

**Table 4. Summary of ESMF Monitoring, Reporting and Evaluation Activities**

Monitoring Activity	Purpose/Action	Frequency	Expected Action	Indicators and means of Verification	Roles and Responsibilities
<b>Annual evaluation</b>	To ensure Project Board is updated on ESMF implementation, issues, and lessons learned.	Annually	Include reporting on ESMF implementation in documentation prepared for Biannual Review Meetings	X of annual evaluation report successful submitted each year.	The (SFISH) Project Manager (informed by TPM reports, self-reporting of sub-projects, field visits)
<b>Biannual reports (for biannual review meetings)</b>	To ensure Project Board is updated on ESMF implementation, issues, and lessons learned.	Biannually	Include reporting on ESMF implementation in documentation prepared for Biannual Review Meetings	X of biannual reports submitted to review meeting	The (SFISH) Project Manager (informed by TPM reports, self-reporting of sub-projects, field visits)

<b>Quarterly Monitoring</b>	Qualitative and quantitative review of selection of projects, engaging with local stakeholders. Identification of any new social and environmental risks and monitoring of implementation of site-specific management plans.	Quarterly	Apply TPM methodology, to include consideration of social, environmental and occupational health risks and management	X of quarterly monitoring report submitted	TPMA and UNDP project team
<b>Field Visits</b>	Conduct field visits to spot-check sub-projects and ensure effective implementation, including ESMF implementation	Periodic	Ensure risks are appropriately identified and managed. If new risks identified, screening and management plan to be updated.		UNDP Project Management Team
<b>Learning</b>	Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		UNDP Project Management Team and UNDP Programme
<b>Review and adapt activities and approach as necessary</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	X mitigation measures and adaptive activities conducted to inform the decision making	UNDP Project Management Team and UNDP Programme
<b>Project Progress Reports</b>	As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included.	Annually, and at the end of the project (final report)	Incorporation of progress on risk management elements, including ESMF	No of project progress report submitted and endorsed with analysis, key stakeholders and recommendations for risk management	UNDP Project Management Team
<b>Site Inspections</b>	To ensure early identification and resolution of potential risks	Daily and weekly	Completion of site inspections checklists (to include social, environmental and occupational hazards and risks)	X of daily and weekly inspections' checklists checked to ensure ES and OHS in place	Responsible Parties (Site Supervisors)
<b>Child Protection</b>	To ensure child protection and rights are at the centre	Daily	Child labour is not permitted - All workers are 18 Years old and above.	X of Children permitted to work under 18. X of the workers who permitted to work above 18.	Gender specialists/ focal point

	included in all activities of the subproject cycle. NO children are pushed by their families to work due to need of money		Verifying Age by checking IDs and other available documents.  Ensure Labour Log is available, and all workers are registered		Technical Resident Engineer / Community Committee
<b>Gender fairness and equality</b>	To ensure equal access and treatment, no discrimination to all selected beneficiaries are provided. No discrimination against women and persons with disabilities when selecting beneficiaries	Daily and every activity and action to IPs and UNDP and Quarterly to WB	PWP and SMEPS adopt a non-discrimination policy that ensures non-discriminatory and inclusive manner, including women and persons with disabilities when selecting beneficiaries. As well as inclusion of women in community committees.	X of women and men (including people with disability) are members of community committee. X of cases received on discrimination based on gender, disability, and age.  X male and female workers hired per subproject	Gender specialist & Gender FP/ focal points at fields and branches, Technical Resident Engineer / Community Committee
Elimination and protection from GBV and SEA	To ensure all project staff and workers are aware and well informed and protected from gender discrimination, GBV and SEA risks and have rights to report immediately and confidentially on GBV and SEA.	Daily and at any time to IP and UNDP.  Quarterly to WB	UNDP provides capacity building on GBV and SEA, in collaboration with GBV and SEA focal points. PWP and SMEPS staff work on daily basis to build capacity and ensure mitigation for the GBV and SEA risks are immediately resolved and that workers are aware and signed a COC at field level.  UNDP and IPs work collaboratively with GBV and SEA focal points to established Referral pathway and SOPs.	X training on gender, GBV and SEA.X no of cases well reported and treated on GBV and SEA.  X of workers trained and signed COC.  A Referral system developed and agreed.	UNDP and IPs  Gender/ specialists/ focal point  Technical Resident Engineer / Community Committee/ GRM and safeguard specialist/GBV and Gender focal point
Capacity building on social , environmental and OHS new requirements for ESSs and SESs	To ensure all partners having sufficient capacity and experience to implement the new safeguard requirements. Several capacity building activities should be conducted at leadership, technical , field staff, including the three project components	Monthly IPs to UNDP and Quarterly reports on capacity building updates	UNDP provides technical support to IPs and accordingly IPs train their field staff regarding new requirements of ESMF, ES, OHS, SEP, Gender and GBV, LMP and any relevant issues	X of capacity building/ training/ workshops/ seminars conducted by UNDP. X participants per gender disaggregated data ( attendance sheet.)  X of capacity building activities at field and branch levels conducted by IPs	UNDP and IPs
Best practices and research/ studies and assessment	Best practices, successful stories, assessment and studies will be conducted to ensure and provide	Annually	UNDP and IPs carry out assessments and study and best practices ( such as impact of cash	X of best practices, assessment and study completed and published	UNDP in collaboration of IPs and TPM

	evidence of safeguard requirements are in place with sufficient mitigation to potential risks.		assistance, best practices, women empowerment and economic development)		
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## 9 Budget estimation to implement the ESMF

ESMF implementation costs are allocated according to the budget line items in table below. Such costs include costs for monitoring and trainings as well as all other stakeholders' engagement and communication for 3 years.

<b>ESMF Implementation Costs (Estimated 3 Years) to be confirmed after finalizing the budget</b>	<b>TOTAL</b>
Staffing	250,000
Capacity Building (Trainings and workshops)	100,000
Field Monitoring and TPM	90,000
Assessments and preparation of ESMPs	60,000
<b>TOTAL</b>	<b>500,000</b>

# 10 Annexes

## Annex 1. Yemen (SFISH) Project Revised SES Screening

Final Sign Off

### Social and Environmental Screening Template (2021 SESP Template, Version 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

#### Project Information

<i>Project Information</i>	
1. Project Title	Sustainable Fishery Development in Red Sea and Gulf of Aden (SFISH) (P178143)
2. Project Number (i.e. Atlas project ID, PIMS+)	(P178143)
3. Location (Global/Region/Country)	Sana'a, Republic of Yemen
4. Project stage (Design or Implementation)	Implementation
5. Date	Apr 18, 2022

## Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
The project upholds the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination based on gender, age, religion, political views or affiliation to parties to the current conflict, social or geographical origin, birth or other status. UNDP will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of the (SFISH) Project . The project also establishes a dedicated grievance mechanism and capacity to ensure that the duty-bearers are accountable to the rights-holders for the actions undertaken in the course of the project.
<i>Briefly describe in the space below how the project is likely to improve gender equality and women’s empowerment</i>
The project recognizes that in the midst of the current crisis in Yemen, women are adversely affected and at the same time asked to take on new and additional roles as heads of households or income-earners. The project will actively target women to support their income-generation opportunities and contribute to the delivery of community service and livelihood assets. The project ensures applying gender disaggregated data, preventing gender-based violence (GBV) and Sexual Exploitation and Abuse (SEA), including elderly and people with disability.
<i>Briefly describe in the space below how the project mainstreams sustainability and resilience</i>
The Project’s Theory of Change assumes that if income-generation and livelihoods opportunities are increased for vulnerable households (including IDPs), with essential service delivery restored and key local businesses revived, Yemeni households and communities will be able to better cope with the impact of the current crisis and be strong drivers of the sustainability, resilience-building and recovery efforts. the (SFISH) Project contributes to the preservation and sustainability of its implementation capacity of much needed service delivery programmes. The nationwide coverage of RPs will enable scale-up and its wide network of non-state partners like CBOs, NGOs and private sector (e.g. contractors and small and micro enterprises) will also extend the outreach. At the community level, the project is expected to pave a way to a more inclusive future in Yemen by actively seeking to build social cohesion, empower communities and foster a role for non-state actors.
<i>Briefly describe in the space below how the project strengthens accountability to stakeholders</i>
Developing the local partners’ GRM systems strengthens accountability, operations oversight, citizen engagement, and learning. In addition to continuing these methods, UNDP will enhance the GRM system by operating a TPM call centre facility for outbound calls to project beneficiaries and targeted communities for verification. Weekly, monthly, and quarterly reports including a summary of opened/processed complaints focusing on the performance of the GRM will be generated automatically by the system. UNDP and RPs will involve the project stakeholders and affected people through applying effective stakeholder engagement and full participation in all project’s phases Besides, RPs have got in place social and environmental sustainability standards to help mitigate potentially high adverse environmental and social impacts in the selection, prioritization and implementation of subprojects at community level, which UNDP will also closely monitor any negative environmental and social impact and ensure compliance with the safeguards through Third Party Monitoring.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</p>
<p><i>Risk Description</i> <i>(broken down by event, cause, impact)</i></p>	<p><i>Impact and Likelihood</i> <i>(1-5)</i></p>	<p><i>Significance</i> <i>(Low, Moderate, Substantial, High)</i></p>	<p><i>Comments (optional)</i></p>	<p><i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i></p>
<p>Elements of Project construction, operation, or decommissioning pose potential safety risks to direct beneficiaries and/or local communities</p>	<p>I = 3 L = 3</p>	<p><b>Substantial</b></p>	<p>Potential minor environmental impacts may include insufficient safety standards used in construction/ rehabilitation of small-scale infrastructure; dust and noise during construction/ rehabilitation; and/or insufficient removal of construction waste after project completion.</p>	<p>These risks are mitigated, however, by the 20-years of experience of PWP in managing project impacts successfully according to their Operational Manual (endorsed/approved by UNDP BMS) that lay out clear criteria for small-scale infrastructure rehabilitation to identify, eliminate and address potential safety risks and UNDP field monitoring including TPM.</p>
<p>There is a significant risk for fatal incidents or serious injuries to occur under the project, particularly under the labor-intensive community subprojects.</p>	<p>I = 4 L = 4</p>	<p><b>High</b></p>	<p>This is anticipated as the project will provide temporary work opportunities to a large number of local community members who are unskilled, largely illiterate, and with little or no knowledge or</p>	<p>Implementing partners will adopt and implement occupational, health and safety (OHS) measures as described in the ESMF and ESMPs. Implementing partners will develop and implement, either as subsection of the LMP or a standalone document (and prior to the commencements of any construction work), a site-specific OHS management plan and will perform safety audits and site visits to be carried out monthly. OHS</p>

			experience in applying OHS measures.	requirements will be incorporated in all contracts as part of the bidding/contractual agreements.  Implementing partners will also: <ul style="list-style-type: none"> <li>• Ensure that an appropriate level of management and resources are in place to comply with the OHS requirements, including the free distribution of personal protective equipment (PPE) and first aid kits;</li> <li>• Prepare risk identification matrices;</li> <li>• Prepare emergency plans and analyze all incidents and accidents;</li> </ul>
Failure of structural elements of the Project poses risks to communities (e.g. collapse of buildings or infrastructure)	I = 2 L = 2	<b>Moderate</b>	The project aims to support the rehabilitation/reconstruction of community infrastructure.	These will be mitigated by the 20-years of experience of PWP in managing project impacts successfully according to their Operational Manual (endorsed/approved by UNDP BMS) that lay out clear criteria for small-scale infrastructure rehabilitation to identify, eliminate and address potential safety risks and UNDP field monitoring including TPM.
Reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.	I = 3 L = 3	<b>Substantial</b>	The project will ensure that gender sensitive interventions are mainstreamed across all project components creating pathways for employment and participation in society and playing a key role in building resilience to shocks, improving livelihoods and mitigating social constraints.	A GBV assessment will be undertaken for the project prior to implementation to have a sense of potential Sexual Exploitation and Abuse (SEA)/SH. The assessment will be conducted to cover activities that will have interaction between male workers with female beneficiaries and laborers provided by contractors. The project will prepare a Gender Action Plan.

<p>There is a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals</p>	<p>I = 3 L= 3</p>	<p><b>Moderate</b></p>	<p>The conflict context may produce social tensions during project implementation, concerning prioritization of subprojects, locations, and selection of participants.</p>	<p>Measures to be undertaken include a clear definition of targeting and selection criteria based on data provided by the UN Clusters; participatory preparation and implementation of subprojects by communities and relevant stakeholders; frequent communication with communities and local stakeholders; grievance redress/ stakeholder response mechanism procedures to ensure timely handling of grievance redress; and public disclosure of the reasons for the rejection of subprojects, if any, to increase transparency. In addition, the project will have a communication strategy which will include consultations with government counterparts, citizen engagement and public outreach. The project is implemented by SMEPS and PWP which are operating relatively independently from the government.</p>
<p>There is a risk that the project would involve or lead to activities adjacent to or within a Cultural Heritage site.</p>	<p>I = 1 L= 1</p>	<p><b>Low</b></p>	<p>A chance finds procedure will be included in all contracts relating to construction of the project.</p>	<p>Chance finds procedures will be included in ESMPs and any contractual documents prior to the implementation of any relevant sub-project activity.</p>
<p>The Project involves significant extraction, diversion or containment of surface or ground water</p>	<p>I = 1 L= 1</p>	<p><b>Moderate</b></p>	<p>The project will target artisanal fishermen using small boats with one off-board petrol engine, i.e. not used in deep waters and will not risk overfishing. The project will carefully monitor the activities of the fishermen during its implementation.</p>	<p>Some of the fishermen will be equipped with fish finders, to help expedite the search of the fish and thus economize the use of fuel. As the targeted fishermen will be operating on small boats using traditional methods of fishing, there is low risk that the use of the fish finders will lead to over catching the fish. The project will also work with fishing associations responsible for ensuring that fishing protocols are in place and adhered to, to protect fish stocks and regulate seasonal controls on fishing. The project will be implemented in line with the Biodiversity Conservation and Sustainable NRM of the SES which includes fishing</p>

				management. The concept of sustainable and responsible fishing will be promoted through this partnership. Through its direct support to small scale fishermen, the project will improve community livelihoods and training on quality and resource sustainability to include the reduction of wastage.
The Project involves significant extraction, diversion or containment of surface or ground water, risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health.	I = 1 L= 1	<b>Moderate</b>	The project rehabilitates existing water supply infrastructure at a small-scale and will not create new extraction points or new infrastructure for containment or diversion of water.	Subprojects will be screened against environmental and social criteria that will be included in the ESMF, and subsequent site-specific environmental assessment instruments will be prepared -if needed- during the implementation phase and before the commencement of any physical activities.
<b>QUESTION 4: What is the overall project risk categorization?</b>				
		<i>Low Risk</i>	<input type="checkbox"/>	
		<i>Moderate Risk</i>	<input type="checkbox"/>	
		<i>Substantial Risk</i>	<input type="checkbox"/>	
		<i>High Risk</i>	<input checked="" type="checkbox"/>	Although the majority of risks are low and moderate in terms of significance, the overall risk for the project has been identified as High due to some fatalities that happened previously under other projects in Yemen and in order to enforce stronger compliance to safeguard measures. These will be carefully monitored through regular updates and consultations with the responsible parties (SMEPs, and PWP) and key stakeholders.
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b>				

Question only required for Moderate, Substantial and High Risk projects			
<i><b>Is assessment required? (check if “yes”)</b></i>	<input type="checkbox"/>		<i><b>Status? (completed, planned)</b></i>
<i>if yes, indicate overall type and status</i>	<input type="checkbox"/>	Targeted assessment(s)	
	<input checked="" type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
	<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
<i><b>Are management plans required? (check if “yes”)</b></i>	<input checked="" type="checkbox"/>		
<i>if yes, indicate overall type</i>	<input checked="" type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Stakeholder Engagement Plan (SEP) and Labour Management Procedures (LMP) Management Plan, others)	
	<input checked="" type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
	<input checked="" type="checkbox"/>	ESMF (Environmental and Social Management Framework)	
<i><b>Based on identified risks, which Principles/Project-level Standards triggered?</b></i>		<b>Comments (not required)</b>	
<i><b>Overarching Principle: Leave No One Behind</b></i>			
<i><b>Human Rights</b></i>	<input checked="" type="checkbox"/>		
<i><b>Gender Equality and Women’s Empowerment</b></i>	<input checked="" type="checkbox"/>		

	<i>Accountability</i>	✓	
	<i>1. Biodiversity Conservation and Sustainable Natural Resource Management</i>	✓	
	<i>2. Climate Change and Disaster Risks</i>	✓	
	<i>3. Community Health, Safety and Security</i>	✓	
	<i>4. Cultural Heritage</i>	✓	
	<i>5. Displacement and Resettlement</i>	□	
	<i>6. Indigenous Peoples</i>	□	
	<i>7. Labour and Working Conditions</i>	✓	
	<i>8. Pollution Prevention and Resource Efficiency</i>	✓	

## Final Sign Off

*Final Screening at the design-stage is not complete until the following signatures are included*

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.



SESP Attachment 1. The (SFISH) Project overall Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<p><b>INSTRUCTIONS:</b> The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the <a href="#">SES toolkit</a> for further guidance on addressing screening questions.</p>		
<p><b>Overarching Principle: Leave No One Behind</b></p> <p><b>Human Rights</b></p>		<b>Answer (Yes/No)</b>
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	NO
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	NO
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? <sup>19</sup>	Yes
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	NO
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
<b>Gender Equality and Women’s Empowerment</b>		
P.8	Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	NO
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
P.11	limitations on women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	NO

<sup>19</sup> Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	NO
<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
<b>Accountability:</b> Screening questions focus on ensure transparency, stakeholder engagement during the project cycles, participatory implementation, monitoring and reporting.		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	NO
P.14	grievances or objections from potentially affected stakeholders?	NO
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	NO
<b>Project-Level Standards</b>		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	NO
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	NO
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	NO
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	NO
1.5	exacerbation of illegal wildlife trade?	NO
1.6	introduction of invasive alien species?	NO
1.7	adverse impacts on soils?	NO
1.8	harvesting of natural forests, plantation development, or reforestation?	NO
1.9	significant agricultural production?	NO
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	NO
1.12	handling or utilization of genetically modified organisms/living modified organisms? <sup>20</sup>	NO

<sup>20</sup> See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>21</sup>	NO
1.14	adverse transboundary or global environmental concerns?	NO
<b>Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	NO
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	NO
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	NO
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	yes
<b>Standard 3: Community Health, Safety and Security</b>		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	NO
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	Yes
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	NO
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	NO
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	yes
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	NO
3.7	influx of project workers to project areas?	NO
3.8	engagement of security personnel to protect facilities and property or to support project activities?	Yes
<b>Standard 4: Cultural Heritage</b>		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	NO
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	NO

<sup>21</sup> See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	NO
4.4	alterations to landscapes and natural features with cultural significance?	NO
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	NO
<b>Standard 5: Displacement and Resettlement</b>		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	NO
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	NO
5.3	risk of forced evictions? <sup>22</sup>	NO
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
<b>Standard 6: Indigenous Peoples</b>		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	NO
6.2	activities located on lands and territories claimed by indigenous peoples?	NO
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	NO
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	NO
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?  <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	NO
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	NO

<sup>22</sup> Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

6.8	risks to the physical and cultural survival of indigenous peoples?	NO
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?  <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	NO
<b>Standard 7: Labour and Working Conditions</b>		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	NO
7.2	working conditions that may deny freedom of association and collective bargaining?	NO
7.3	use of child labour?	NO
7.4	use of forced labour?	NO
7.5	discriminatory working conditions and/or lack of equal opportunity?	NO
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	NO
<b>Standard 8: Pollution Prevention and Resource Efficiency</b>		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	NO
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	NO
8.4	the use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the <a href="#">Montreal Protocol</a>, <a href="#">Minamata Convention</a>, <a href="#">Basel Convention</a>, <a href="#">Rotterdam Convention</a>, <a href="#">Stockholm Convention</a></i>	NO
8.5	the application of pesticides that may have a negative effect on the environment or human health?	NO
8.6	significant consumption of raw materials, energy, and/or water?	Yes

Attachment 2. PWP Environmental and Social Checklist

1: The Natural Environment	Answer (Yes/No)
<p>1.1 Are there any environmentally sensitive areas or threatened species that could be adversely affected by the subproject (specify below)?</p> <p>Intact natural forests</p> <p>Riverine forest</p> <p>Wetlands (lakes/rivers/seasonally inundated areas)</p> <p>If yes, how far are the nearest wetlands (lakes, rivers, seasonally inundated [flooded] areas)? _____ km</p> <p>Habitats of endangered species for which protection is required under Yemeni laws and/or international agreements</p> <p>Others (describe)(e.g. cultural sites, burial places, etc.)</p>	
2.Fauna and Flora	
<p>2.1 Will subproject involves the disturbance or modification of existing drainage channels (rivers, canals) or surface water bodies (wetlands, marshes)?</p>	
<p>2.2 Will the subproject lead to the destruction or damage of terrestrial or aquatic ecosystems or endangered species directly or by induced development?</p>	
<p>2.3 Will the subproject lead to the disruption/destruction of wildlife through interruption of migratory routes, disturbance of wildlife habitats, and noise-related problems?</p>	
3.Destruction/Disruption of Land and Vegetation	
<p>3.1 Will the subproject lead to unplanned use of the infrastructure being developed?</p>	
<p>3.2 Will the subproject lead to long-term or semi-permanent destruction of soils in cleared areas not suited for agriculture?</p>	
<p>3.3 Will the subproject lead to the interruption of subsoil and overland drainage patterns (in areas of cuts and fills)?</p>	
<p>3.4 Will the subproject lead to landslides, slumps, slips and other mass movements in soil?</p>	
<p>3.5 Will the subproject lead to erosion of lands?</p>	
<p>3.6 Will the subproject lead to health hazards and interference of plant growth by the dust raised and blown by vehicles?</p>	

<b>4. Protected areas</b>	
4.1 Does subproject occur within/adjacent to any protected areas designated by the government (national park, national reserve, world heritage site, etc.)	
4.2 If subproject is outside of, but close to, any protected area, is it likely to adversely affect the ecology within the protected area (e.g. interference with migration routes of mammals or birds)	
4.3 Would this project increase the current impact on the surrounding environment for example by using more water, chemicals or machinery than previously? If yes HOW	
<b>5. Geology and Soils</b>	
5.1 Based on visual inspection or available literature, are there areas of possible geologic or soil instability (erosion-prone, landslide-prone, subsidence-prone)?	
5.2 Based upon visual inspection or available literature, are there areas that have risks of a large-scale increase in soil salinity?	
<b>6 Landscape/aesthetics</b>	
6.1 Is there a possibility that the subproject will adversely affect the aesthetic attractiveness of the local landscape?	
<b>7. Historical, archaeological or cultural heritage site</b>	
7.1. Based on available sources, consultation with local authorities, local knowledge and/or observations, could the subproject alter any historical, archaeological or cultural heritage site or require excavation nearby?	
<b>8. Resettlement and/or Land Acquisition</b>	
8.1 Will the subproject require land acquisition?	
8.2 If so, will this land acquisition be involuntary?	
8.3 If so, will this involuntary land acquisition lead to relocation or loss of shelter, loss of assets, or access to assets?	
8.4 If so, will this involuntary land acquisition lead to loss of income sources or means of livelihood (whether or not affected persons must move to another location)?	
8.5 Will subproject lead to involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of displaced persons?	
<b>9. Noise pollution during Construction and Operations</b>	

9.1 Will operating noise level exceeds allowable/ambient noise limits?	
<b>10. Solid or Liquid Wastes, including Medical Waste</b>	
10.1 Will subproject generate large amounts of residual wastes (solid or liquid wastes), including medical waste?	
10.2 If “Yes”, does subproject include plan for collection & disposal?	
<b>11. Pesticides, Insecticides, Herbicides or any other Poisonous or Hazardous Chemicals</b>	
11.1 Will the subproject require the use of such chemicals?	
11.2 If, “Yes”, does subproject include plan for safe handling, use & disposal?	
<b>12. Water and Soil Contamination</b>	
12.1 Will the subproject require large amounts of raw materials/construction materials?	
12.2 Will subproject generate large amounts of residual wastes, construction material waste or cause soil erosion?	
12.3 Will subproject result in soil or water contamination (e.g. from oil, grease, and fuel from equipment)?	
12.4 Will subproject lead to contamination of ground and surface water bodies by herbicides for vegetation control and chemicals for dust control?	
12.5 Will subproject lead to an increase in suspended sediments in streams affected by a road cut erosion, a decline in water quality & increased sedimentation downstream?	
12.6 Will subproject lead to the destruction of vegetation and soil in the right-of-way; borrow pits, waste dumps, and equipment yards?	
12.7 Will subproject lead to the creation of stagnant water bodies in borrow pits, quarries, etc., encouraging for mosquito breeding and other disease vectors?	
12.8 Will this project include the development of a large irrigation scheme?	
12.9 Will this project aims at improving an irrigation scheme (without expansion)?	
12.10 Will this project change the water quality and quantity in the project area or areas connected to it	
12.11 Will this project involve the intensification of production systems that leads to land-use changes (e.g. deforestation), higher nutrient inputs leading to soil or water pollution, changes of water regimes (drainage, irrigation)?	

<b>13. Decent Work</b>	
13.1 Will this project affect the current or future employment situation of the rural poor and in particular the labor productivity, employability, labor conditions, and rights at work of self-employed rural producers and other rural workers?	
<b>14. Gender</b>	
14.1 Could this project risk overlook existing gender inequalities in access to productive resources, goods, services, markets, decent employment, and decision-making?  For example, by not addressing existing discrimination against women and girls, or by not taking into account the different needs of men and women	
<b>15. Community Health, Safety, and Working Conditions</b>	
15.1 Are indigenous peoples present in the Project area (including Project area of influence)?	
15.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	
15.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples?	
15.4 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	
15.5 Will this project permanently or temporarily removes people from their homes or means of production/livelihood or restrict their access to their means of livelihood?	
15.6 Will the project bring about consolidation or adjustment of tenure rights?	
15.7 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	
15.8 Would the Project pose potential risks to community health and safety due to transport, storage, construction?	
15.9 Would the Project pose potential risks to community health and safety due to the use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel, and other chemicals during construction and operation)?	
15.10 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)?	

15.11 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases)?	
15.12 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	
15.13 Will the Project activities cause any risks for workers during the construction?	

## Annex 2. Environmental and Social Management Plan - Indicative Outline

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

The content of the ESMP will be presented as per the ESPRECP ESMP template that was agreed with the implementing partners. It will include as minimum the following elements:

1. Introduction: includes
  - Name of Subproject,
  - Subproject ID Subproject;
  - Location Sector and type of Subprojects;
  - Department implementing Subprojects Estimated cost of SB
  - Field Visit Was consultation carried out Proposed Class of the SB (A to D Low to High)
  - A Table indicates: date, agency name and safeguard staff who screen and review and approve the ESMPs
2. Sub project Description: comprises
  - 2.1 Scope of work
    - Location
    - Land Acquisition
    - Resources and services' access restriction
    - COVID19 Sensitivity
  - 2.2 Gender and Social related issues
    - Child Labour
    - Gender: Number affected and disadvantaged people of men, women, boys, girls, elderly people, and people with disability
    - GBV and SEA
    - Conflict sensitivity and Do NO Harm
3. Environmental and social Baseline Conditions: includes
  - Introduction
  - Rain, climate and weather
  - Air Quality and Noise
  - Existing situation of the targeted Area
  - Targeted Beneficiaries: Affected, disadvantaged, marginalized, and interested groups.
4. Environmental and Social Impact Assessment: contains
  - Applicability
  - Eligibility
  - Environmental and Social Screening
5. Environmental, Social Impact Analysis plan and Mitigation measures
  - Environmental and Social Impact Analysis plan and Mitigation measures
  - Occupational and health Safety Plan (OHS Plan) to update according to LMP
6. Environmental and Social Monitoring Plan
  - Environmental and Social Monitoring Plan (for monitoring daily work) with proposed outputs, activities, and indicators
  - Occupational Health and Safety:
    - Includes all mitigation measures that indicated in the ESCP
7. Stakeholder engagement Plan and Public Consultation: focuses on and limited to
  - Introduction
  - Consultation Methodology and approach
  - Topics of the Consultations

- Results of the consultations
  - Sustainability of subproject and community ownership
  - Stakeholder engagement plan
8. Grievance Response Mechanism, comprises of
- Hotline
  - Complain Box
  - Brochure distributed to the Local community
  - Complain Handling Mechanism
9. Annexes
- Environmental & Social Checklist
  - Environmental and Social Responsiveness (ESR) criteria at proposal stage
  - Public Consultation Report
  - complaints handling mechanism

## Annex 3. Guidance for Submitting a Grievance



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

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### **Purpose of this form**

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

This form is intended to assist in:

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

and/or

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

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

**Confidentiality** If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a

response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

### **Guidance**

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

### **Information about You**

Are you...

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

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

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

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

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

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

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

You have four options:

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

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

If confidentiality is requested, please state why:

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

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

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

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

If confidentiality is requested, please state why:

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

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

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

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

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

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

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

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

21. Project name (if known):

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

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

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

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

Name of Officials You have Already Contacted Regarding this Issue:

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

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

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

First Name	Last Name	Title/Affiliation	Contact Information

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

Submission and Support

To submit your request, or if you need assistance please email: [project.concerns@undp.org](mailto:project.concerns@undp.org)

## Complaints Registration Form at PWP

<u>Complaints registration form at PWP</u>	
رقم المشروع:..	project No.....
التاريخ	: Date.....
اسم المشروع: .	Project Name.....
اسم الشاكي:.....	Name of complainant.....
نص الشكوى:..	Complaint content.....
الإجراءات المتخذة: ...	Actions taken.....
تاريخ انتهاء المشكله: ..	The date of resolving the complaints.....
الملاحظات:.....	Comments.....
المختص: Responsible person	مدير إدارة المتابعة Follow-up department Manager
التوقيع: signature	التوقيع signature

## WB Grievance Redress System

The Grievance Redress Service (GRS) is an avenue for individuals and communities to submit complaints directly to the World Bank if they believe that a World Bank-supported project has or is likely to have adverse effects on them, their community, or their environment. The GRS enhances the World Bank's responsiveness and accountability to project-affected communities by ensuring that grievances are promptly reviewed and addressed. The GRS processes an average of 125 complaints a year, covering a wide spectrum of project-related issues.

### Filing a complaint

Any individual or community who believes that a World Bank-financed project has or is likely to, adversely affect them can submit a complaint.

The GRS considers a complaint admissible when it:

- relates to an active (i.e. not closed) Bank-supported project
- alleges environmental and social harm caused or likely to be caused by the project
- is submitted by a complainant, a group of complainants directly affected by the project, or their authorized representatives.

Complaints must be in writing and addressed to the GRS. They can be sent by the following methods:

- online, access the online form (DOCX)
- by email to [grievances@worldbank.org](mailto:grievances@worldbank.org)
- by letter or by hand delivery to the World Bank Headquarters in Washington D.C., United States or any World Bank Country Office – print and use this form (DOCX)

### Information to include in a complaint

Complaints must:

- identify the project subject of the complaint
- clearly state the project's adverse impact(s)
- identify the individual(s) submitting the complaint
- specify if the complaint is submitted by a representative of the person(s) or community affected by the project
- if the complaint is submitted by a representative, include the name, signature, contact details, and written proof of authority of the representative.

Supporting evidence is not necessary but may be helpful in reviewing and resolving the complaint. The complaint may also include suggestions on how the individuals believe the complaint could be resolved. All complaints will be treated as confidential. The GRS will not disclose any personal data that may reveal the identity of complainants without their consent.

## **Annex 4. OHS Framework and OHS Toolkit**

(Will be attached later separately)

## **Annex 5. Stakeholder Engagement Plan**

(Will be attached later separately)

## **Annex 6. Labour Management Procedure**

(Will be attached later separately)

## **Annex 7. Environmental and Social Commitment Plan**

(Will be attached later separately)

## **Annex 8 Gender and GBV Plan**

(Will be attached later separately)