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**PROJECT DOCUMENT**  
**[Republic of Yemen]**

**Project Title:** Yemen Emergency Crisis Response Project FAMINE RESPONSE

**Project Number:** Award ID: 00123521

**Implementing Partner:** United Nations Development Programme (UNDP)

**Responsible Partner:** Social Fund for Development (SFD); Public Works Project (PWP)

**Start Date:** 25 September 2019 **End Date:** 31 Mar 2020

**PAC Meeting date:**

**Brief Description**

The Yemen Emergency Crisis Response Project (YECRP) will contribute to and complement the overall collective efforts for the prevention of Famine in Yemen by addressing the following key critical drivers of the food insecurity where it has a comparative advantage and has demonstrated results: 1) lack of income and gap in the delivery of critical services including Roads and WASH; and 2) lack of local capacities for food production.

The approach of YECRP's famine response is outlined below:

- 1) Strengthening the service provision on roads, and WASH through the rehabilitation of key service infrastructure while enhancing the purchasing power of vulnerable people through rapid income from rapid employment in the rehabilitation work;
- 2) Boost the capacities of local food production to increase food availability, decreasing reliance on imports, revitalizing the local market and economy and generating sustainable employment opportunities; and
- 3) Preserve and enhance the institutional capacities of SFD and PWP for the delivery of critical social safety net and community recovery/development support.

Contributing Outcome (UNDAF/CPD, RPD or GPD):




Outcome 2: **Yemenis improve their livelihoods and access inclusive productive services**

Indicative Output(s) with gender marker<sup>2</sup>:

**Output 2.1: Vulnerable and at-risk Yemenis have received short and medium-term livelihoods and recovery support**

<b>Total resources required:</b>	USD 10,000,000	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
	<b>KSA</b>	\$10,000,000
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>		

Agreed by (signatures):

UNDP	SFD	PWP
Auke Loosdijk Resident Representative 	Abdullah Al-Dailami Managing Director, 	Saeed Obad General Manager 
Date:	Date:	Date:

UN prevailing rate of exchange at the time of signature USD 1.00 equivalent to YR 560.17 as of August 2019



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## I. DEVELOPMENT CHALLENGE

Yemen's current multi-dimensional war is now entering its fifth year. This conflict has exacerbated the Yemen's chronic vulnerabilities, leaving an estimated 24.1 million people (or more than 80 percent of its population) in need of humanitarian assistance, including an estimated 12.3 million children and 3.7 million internally displaced persons (IDPs).

Yemen is one of the most food insecure countries in the world. Around 20 million people (70 percent of the population) are facing hunger, a 13 percent increase from 2017. The current conflict has led to a decline in the national economy. Gross Domestic Product was cut in half since 2015, and more than 80 percent of the population living below the poverty line. The fighting around the country's seaports and the ensuing suspension of commercial imports and supply shortages, the depreciation of the Yemeni rial, which is now worth barely a third of 2015 level, have combined to push the food prices up.

Even for those who are still getting paid, feeding themselves and their families is a challenge. The failure in the state's economy resulted in the state ceasing to pay the salaries of the civil servants, leading to widespread failure in basic public services and the suspension of social safety net support to vulnerable Yemenis. With up to a third of Yemenis employed in the civil service, millions have been left without any income and in heightened vulnerable conditions. It is estimated that close to 14 million people will be facing severe food shortage or at risk of starvation by the end of 2018. Around 152 out of Yemen's 333 districts are currently in Integrated Food Security Phase Classification (IPC 4) (Emergency), which is a 45 percent increase from 2017<sup>1</sup>.

Only half of health facilities are functioning<sup>2</sup>, and many Yemenis in need of critical treatments especially for malnutrition are too poor to access the ones that are open. Beyond those at risk of famine, many millions with only emergency food assistance to survive, face a collapse in their immune systems – especially children and the elderly – increasing their vulnerability to malnutrition, cholera and other diseases. Chronic water shortages exacerbate food insecurity and risk of famine in areas where people depend on agriculture for food and income.

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<sup>1</sup> According to latest IPC data released on 6 December 2018

<sup>2</sup> [https://reliefweb.int/sites/reliefweb.int/files/resources/2019\\_Yemen\\_HNO\\_FINAL.pdf](https://reliefweb.int/sites/reliefweb.int/files/resources/2019_Yemen_HNO_FINAL.pdf)

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## II. STRATEGY

The crisis in Yemen has been categorized as the worst humanitarian crisis in the world. Against this background, YECRP's strategy to mitigate the impact of the current crisis, including the risk of famine, is anchored on a two-pronged approach: a) to addressing<sup>55</sup> immediate needs – leveraging and enhancing endogenous support mechanisms to populations at-risk that can complement and safeguard the gains made through the humanitarian response, and b) the need to maintain the existing capacities and mechanisms at local and national level to maintain the foundation for future reconstruction and recovery.

YECRP is implemented by the United Nations Development Programme (UNDP) in partnership with the Social Fund for Development (SFD) and the Public Works Programme (PWP), two local institutions key for the delivery of social safety nets support and community development in Yemen. Additional background information on SFD and PWP is included in Annex 1.

Launched in 2016, YECRP is currently supported by the World Bank and USAID. By December 2019, YECRP is expected to create temporary employment for around 470,000 people, indirectly benefiting around 3 million household members and another 2.7 million community members benefiting from access to services and improved productive assets.

### Approach to Famine Response

YECRP will contribute to and complement the overall collective efforts for the prevention of famine in Yemen by addressing the following key critical drivers of the food insecurity where it has a comparative advantage and has demonstrated results: 1) lack of income, b) gap in the delivery of critical services including roads and Wash Hygiene & Sanitation (WASH); and 2) lack of local capacities for food production.

The approach of YECRP's famine response is outlined below:

- 1) Strengthening the service provision through the rehabilitation of roads, and WASH infrastructure while enhancing the purchasing power of vulnerable people through rapid income from rapid employment in the rehabilitation work;
- 2) Boost the capacities of local food production to increase food availability, decreasing reliance on imports, revitalizing the local market and economy and generating sustainable employment opportunities; and
- 3) Preserve and enhance the institutional capacities of SFD and PWP for the delivery of critical social safety net and community recovery/development support.

The project's Theory of Change assumes that if 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 effectively cope with the current severe food insecurity and mitigate the risk of starvation and be strong drivers of the resilience-building and recovery efforts.

YECRP supports the preservation of the institutional autonomy and political neutrality of public implementing agencies in the current context. The approach has enabled for greater flexibility and outreach critical for delivering services to the Yemeni population across all parts of the country. For the past two years since its launch in 2016, YECRP has been able to operate in more than 320 districts in all 22 governorates in Yemen despite the context.

YECRP's targeting strategy for funding allocation is based on a multi-layered approach including UN data on displacement, population in needs, prioritized according to food insecurity and famine risk levels in IPC 3 and IPC 4 Governorates and Districts IPC data). This ensures transparency, upholds the political neutrality and increases buy-in by diverse actors. For Kingdom of Saudi Arabia's (KSA) fund, the targeting will follow similar multi-layered methodology with a primary focus on districts classified as phase 4 and phase 3 in terms of food insecurity and will consider other factors including easier accessibility, less preparation time, and

readiness of branch offices to speed up the delivery within the available timeframe of the fund. As such, the KSA fund will initially target around 74 districts across 18 governorates from South and North which will be confirmed and updated once the needs assessment is conducted.

YECRP supports the development of local capacity and institutions during the crisis. The Project will continue to support the capacity of Yemen's local institutions such as SFD and PWP and especially their strong local and community-based networks, which continue delivering critical services during this time of unprecedented crisis. Both SFD and PWP have been able to quickly realign and adjust their strategic approach and operational capacities to provide relevant responses in the current crisis, with strong coordination with the relevant UN clusters and humanitarian partners. The KSA support will help preserve the capacity of these critical local institutions so that they remain capable -once the fighting stops- to deliver critical services in support of vital recovery programs.

On safeguards compliance, SFD and PWP shall adhere to the safeguards requirements while identifying, planning and implementing sub-projects in the various sectors. The responsible parties (RPs), their partners or contractors shall ensure that all sub-projects comply to the safeguard requirements. RPs shall consider the potential environmental and social opportunities and impacts that the sub-projects may generate and ensure that adverse social, environmental and health risks and impacts are avoided, risks are reduced to acceptable limits, risks are mitigated and managed in accordance with the measures and tools of the YECRP "Environmental and Social Management Framework (ESMF)".

The RPs and its partners or contractors shall ensure compliance to the social, environmental and occupational health safety as stipulated in the YECRP ESMF. RPs shall consider the potential environmental and social opportunities and impacts that the sub-projects may generate and ensure that adverse social, environmental and health risks and impacts are avoided, mitigated and managed in accordance with the measures and tools of the ESMF and its annexes.

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### III. RESULTS AND PARTNERSHIPS

#### Expected Results

##### Proposed Areas for KSA Support

With KSA support, the Project is expected to achieve the following results:

- A total of 55,671 Yemeni people (7,953 direct and 47,718 indirect) benefit from income received from wage employment with over 188,600 working days generated;
- Rehabilitation of more than 13 Km of roads (rural and central roads) and critical WASH infrastructure for services (with around 14,000 cubic meter of water), along with protection of agricultural lands and irrigation (of around 600 hectares), enabling around 98,000 people in 69 districts in 18 governorates to access critical basic service facilities.
- 4,500 additional jobs and employment created with sustainable income through support to 953 local agriculture businesses including farmers, fishermen and women livestock.

The project will ensure the inclusion of IDPs/returnees – 15%, Women – 30% and Youth - 30%.

#### **Result Area 1. Providing income for vulnerable people and Expanding Delivery of Critical Services for Famine Response (USD 5.5 million)**

Safeguarding and enhancing of critical service provision preserves the productive capacities and reduces the burden of substituting services through humanitarian assistance. Result Area 1 will focus on the construction and rehabilitation of infrastructure focusing on roads to facilitate access to services critically needed for food security and malnutrition treatment. WASH infrastructure and protected agricultural lands and irrigation will also be rehabilitated to prevent further deterioration in food insecurity and to prevent famine in the communities at risk, substituting services through humanitarian assistance.

The implementation modality will be through civil works, employing local private contractors. The wage intensity will be at least 35%<sup>3</sup>. The approach is expected to generate job opportunities for large numbers of unemployed labour (skilled and unskilled) in the 18 targeted governorates to enable them to purchase food and cover their basic needs and help boost the local private construction sector and supporting businesses. A total of 7,000 direct workers and 42,000 indirect household members will benefit from wage employment under this component. In addition, at least 142,000 working days will be created, benefiting at least 98,000 people from access to key community services.

This component will be implemented by PWP in 64 districts (60 percent of them in IPC4 and the rest in IPC3) across 18 governorates selected according to the targeting methodology indicated above. Besides, the project will construct and rehabilitate small-scale community infrastructure which will facilitate access to improve food security and reach malnutrition treatment services. As such, the project will focus on the following sectors:

#### **Households and communities have access to clean water supply**

This component will focus on the rehabilitation of existing water supply networks mainly in the rural areas including water tanks (up to 500 cu.m) and networks of pipes and necessary extensions and connect households to water meters. Activities will also include building rain water harvesting reservoirs (up to 750 to 1500 cu.m) including filters for communities living in remote mountainous areas with difficult access and suffering from severe shortages of water for household consumption. Interventions will also include rehabilitation or construction of public/communal rainwater harvesting cisterns, and surface water systems where the water source is springs or open water body such as a dam, lake or open cistern. Over 14,000 cubic

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<sup>3</sup> SFD and PWP will ensure that the labor intensity is maximized, to ensure that more people are able to benefit from the wages.

meters of water will be harvested. The project will implement 27 water sub-projects in 27 districts in 16 governorates with a total amount of USD 1,670,000 as detailed in table 1 below.

*Table 1: List of water sub-projects*

Governorate	District	Number	Cost	Activity
Taiz	Maqbanah	1	80,000	Water Harvesting
Taiz	Sama	1	80,000	Water Harvesting
Sana'a	Al Haymah Ad Dakhiliyah	1	70,000	Water Harvesting
Hajjah	Mabyan	1	60,000	Water Harvesting
Hajjah	Bani Qa'is	1	50,000	Water Harvesting
Dhamar	Utмах	1	80,000	Water Harvesting
Lahj	Halimayn	1	70,000	Water Harvesting
Shabwah	Arma	1	90,000	Water Harvesting
Sa'ada	Al Hashwah	1	40,000	Water Harvesting
Al Mahwit	Bani Sa'd	1	60,000	Water Harvesting
Al Jawf	Rajuzah	1	80,000	Water Harvesting
Al Maharah	Sayhut	1	60,000	Water Harvesting
Amran	Dhi Bin	1	70,000	Water Harvesting
Al Dhale'e	Al Azariq	1	70,000	Water Harvesting
Raymah	Al Jabin	1	60,000	Water Harvesting
Raymah	Mazhar	1	60,000	Water Harvesting
Sana'a	Bilad Ar Rus	1	50,000	Water Supply
Al Hudaydah	Alluheyah	1	50,000	Water Supply
Al Hudaydah	Al Qanawis	1	60,000	Water Supply
Al Hudaydah	Az Zaydiyyah	1	65,000	Water Supply
Al Hudaydah	Al Mighlaf	1	50,000	Water Supply
Hadramaut	Daw'an	1	50,000	Water Supply
Hadramaut	Sah	1	60,000	Water Supply
Hadramaut	Wadi Al Ayn	1	40,000	Water Supply
Dhamar	Al Manar	1	70,000	Water Supply
Shabwah	Merkhah As Sufla	1	45,000	Water Supply
Marib	Harib	1	50,000	Water Supply
<b>Total</b>		<b>27</b>	<b>1,670,000</b>	

### Road rehabilitation expands access to critical services and local markets

Rehabilitation of rural roads (stone paving) that connect communities to access to agricultural inputs and to the local markets for food. This will boost the agricultural production and income-generating capacities of the targeted communities. In addition, rural roads that facilitate access for remote communities to health facilities will also be given priority. The labour-intensity for this sub-component will reach up to 40 percent. This sub-component will be implemented by PWP. A total of 13 km of community rural roads is expected to be rehabilitated. The project will implement 20 sub-projects in 20 districts in 11 governorates with a total amount of USD 1,420,000 as detailed in table 2 below.

*Table2: List of sub-projects under road rehabilitation*

Governorate	District	Number	Cost	Activity
Taiz	Shara'b As Salam	1	90,000	Road Rehabilitation
Taiz	Sabir Al Mawadim	1	80,000	Road Rehabilitation
Taiz	Hayfan	1	90,000	Road Rehabilitation

Sana'a	Manakhah	1	70,000	Road Rehabilitation
Sana'a	Sa'fan	1	80,000	Road Rehabilitation
Ibb	Ar Radmah	1	80,000	Road Rehabilitation
Ibb	Ash Sha'ir	1	80,000	Road Rehabilitation
Ibb	Hazm Al Udayn	1	90,000	Road Rehabilitation
Ibb	Ba'dan	1	90,000	Road Rehabilitation
Hajjah	Al Miftah	1	20,000	Road Rehabilitation
Hajjah	Hajjah City	1	50,000	Road Rehabilitation
Dhamar	Al Hada	1	60,000	Road Rehabilitation
Dhamar	Wusab As Safil	1	80,000	Road Rehabilitation
Lahj	Radfan	1	50,000	Road Rehabilitation
Al Mahwit	Ar Rujum	1	60,000	Road Rehabilitation
Al Mahwit	Al Khabt	1	60,000	Road Rehabilitation
Al Jawf	Bart Al Anan	1	60,000	Road Rehabilitation
Al Maharah	Al Ghaydah	1	80,000	Road Rehabilitation
Amran	Suwayr	1	80,000	Road Rehabilitation
Al Dhale'e	Jahaf	1	70,000	Road Rehabilitation
<b>Total</b>		<b>20</b>	<b>1,420,000</b>	

### Protection of Agricultural Lands and Irrigation Channels to enhance agricultural productivity and support food security

The agriculture land protection will cover land conservation, construction and rehabilitation works including, retaining walls and gabions to protect the Wadi banks, farms protection from creeping sand dunes, soil conservation works in selected watershed areas, includes construction or rehabilitation of structures that promote soil conservation, rehabilitation of abandoned lands to put them back into productive use. On the other hand, the irrigation channels will include, building weirs and diversion channels, spate head regulators, rehabilitation of conventional channels to capture water (also flood water) and target it for use in agricultural production. Around 600 hectares of agricultural lands will be protected and irrigated. The project will implement 19 sub-projects in 18 districts in 12 governorates with a total amount of USD 1,180,000 as detailed in table 3 below.

*Table3: List of Land Protection and Irrigation sub-projects*

Governorate	District	Number	Cost	Activity
Taiz	Ash Shamayatayn	1	75,000	Agricultural Land Protection
Sana'a	Attyal	1	70,000	Agricultural Land Protection
Sana'a	Bani Matar	1	50,000	Agricultural Land Protection
Sana'a	Bani Matar	1	60,000	Agricultural Land Protection
Al Hudaydah	Al Hajjaylah	1	40,000	Agricultural Land Protection
Al Hudaydah	Bura	1	30,000	Agricultural Land Protection
Lahj	Tur Al Bahah	1	60,000	Agricultural Land Protection
Abyan	Khanfir	2	160,000	Agricultural Land Protection
Shabwah	Bayhan	1	65,000	Agricultural Land Protection
Shabwah	As Said	1	70,000	Agricultural Land Protection
Sa'ada	Sahar	1	20,000	Agricultural Land Protection
Sa'ada	As Safra	1	50,000	Agricultural Land Protection
Al Mahwit	At Tawilah	1	70,000	Agricultural Land Protection
Marib	Harib Al Qaramish	1	80,000	Agricultural Land Protection
Marib	Bidbadah	1	70,000	Agricultural Land Protection



Al Jawf	Al Hmaydat	1	90,000	Agricultural Land Protection
Amran	Raydah	1	60,000	Agricultural Land Protection
Al Dhale'e	Damt	1	60,000	Agricultural Land Protection
<b>Total</b>		<b>19</b>	<b>1,180,000</b>	

**Result Area 2. Local agricultural businesses including farmers, fishermen and livestock have increased productive capacities for high nutrition value food production (USD 3 million)**

This Result Area 2, which will be implemented by SMEPs<sup>4</sup> under SFD, will focus on strengthening the capacities of local agricultural businesses (farmers, fishermen, and livestock producers) through in-kind support in the targeted communities to increase food production. The agricultural business owners will have enhanced revenues from the increase in production and sales. The component builds on previous interventions under YCRP, where results showed that the support provided to agricultural businesses created a multiplier effect with additional jobs and employment opportunities, for the community as a result of the increased productivity and revenue (return on investment ratio is on average 1 to 5).

The proposed approach for KSA funding builds on existing YECRP interventions by adding new sub-sectors and activities intended to increase the availability of food products with high dietary and nutritional value. This includes small ruminant breeding focusing on dairy production. Support will also be extended to cereal farmers to raise their production level to mitigate the food insecurity in their community and to create surpluses for animal fodder.

*Table (4): List of Activities per District*

Sector	Governorate	District	Beneficiaries	Budget
Agriculture	Ibb	Di-Sufal	80	348,426
Agriculture	Raymah	Al Salfiya	130	363,556
Livestock	Taiz	Ash Shamayatayn	320	702,293
Livestock	Taiz	Al-Maafir	265	581,587
Fisheries	Hadramaut	Ash Shihr	115	391,182
Fisheries	Hadramaut	Al Mukalla City	100	340,158
<b>Total</b>			<b>1010</b>	<b>2,727,202</b>

In total, 1010 local-agricultural MSME businesses will be supported, creating at least 4,500 additional jobs and employment opportunities in the communities.

The project will support targeted fishermen with GPS or fish finders to help expedite the search for fish and thus economize the use of fuel. The project will be implemented in line with the Biodiversity Conservation and Sustainable NRM of the SES which includes fishing management. 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 waste.

Based on the IPC priorities and the level of needs, this result area plans to target six districts within four governorates (Taiz, Ibb, Raymah, and Hadramaut).

**Result Area 3. Effective Project Management and Oversight for Quality and Timely Delivery (USD 1.5 million)**

<sup>4</sup> Small and Micro Enterprises Promotion Services (SMEPs) is a subsidiary agency of SFD and is specialized in local economic development and resilience.

UNDP will establish a dedicated project team for oversight and quality assurance to ensure timely delivery of results in accordance with the existing project document and agreement with KSA. The project team will ensure the application of a conflict and gender sensitive approach for the project in the current context, and that all risk mitigation measures are in place to create a maximum enabling environment for timely implementation of activities. Occupational Health Safeguards (OHS) and Social and Environmental Standards (SES) will be closely monitored and enforced through the Implementing Partners to ensure the Project does not cause any negative impact or harm to the individual beneficiaries, and the communities.

The project team will adhere to the monitoring and reporting requirements as per the agreement with KSA to ensure full transparency and compliance with fiduciary responsibilities. This includes Third Party Monitoring, evaluation and audits. UNDP will provide oversight and quality assurance of the project, along with a dedicated communication and advocacy. In addition, it will ensure institutional level coordination with KSA, as well as other donors including the World Bank, European Union, the Government of Yemen, UN system, local authorities, humanitarian partners and other relevant stakeholders with a view to enabling coherence and collaboration of the project with broader initiatives. UNDP will also ensure that all project activities under the KSA grant are closely coordinated and planned with the relevant UN clusters (FSAC, Nutrition, Health and WASH) on operational and technical aspects.

The UNDP Country Office will also provide operational support services in relation to the Project that includes finance, procurement (contracting), administration, human resources, ICT and security risk management.

## **Stakeholder Engagement**

### **Targeting**

A new targeting approach was developed under the World Bank's AF2 based on newly available data from the UN Clusters at the governorate and district level. The targeting methodology uses the data from the UN-led displacement, nutrition and food security clusters in order to review available data at the governorate and district level; developed a clear definition of IDPs (accounting for IDPs present within the governorates) and included returnees as part of the displaced population. UNDP and the two partners have improved coordination on any changes needed in the priority districts due to the fluid security situation or inaccessibility, which will be verified through quarterly reviews to update relevant information and data.

Under FAMINE RESPONSE, the targeting methodology for the Cash for Work sub-component will remain the same, including the same variables and approach as under AF2. The relevance of the targeting methodology was reviewed to ensure that the districts affected by food insecurity will still be prioritized, whilst also being able to address the multiple dimensions of vulnerabilities the population faces. The districts for malnutrition support districts were selected based on the following criteria:

1. Need's intensity and number of people in need,
3. Coverage of nutritional treatment services,
4. Ease of access according to the branch managers,
5. Geographical balance,
6. Female community mobilizers level of education (high school, university), and
6. Integration with other partners of service providers to maximize the impact of interventions.

Women's participation: The targeting unit is community then household/groups. Within the household/groups, women will be encouraged to participate in the work through specially designed components that suit women's capacities, skills and time-use. These work components should be close to their homes and engage other family members, such as terrace and land rehabilitation or small rainwater harvesting schemes.

Youth participation: The social service subcomponent will directly target male and female youth up to 35 years old through specially designed component of works that suit their educational level and the type of services they would be in a position to render. For example, youth will be selected to implement social cohesion and community resilience building activities.

### **Partnership**

The RPs are the designated responsible parties in the implementation of the Project. An inherent objective of the assistance of the YECRP is to restore and enhance the capacities and services of the RPs as a national institution. The lessons learnt study of YECRP emphasises that the partnership UNDP and the two implementing partners (SFD and PWP), was characterised by well-structured and joint coordination, decision-making and supervision from the start of the project cycle, and a division of labour which contributed to effective implementation. Each institution brought to the table specific inputs, expertise, capacities and resources that were necessary elements for success, and which together resulted in higher impact than what could have been achieved by the institutions working separately.

UNDP's partnership with local institutions and programmes that are perceived as fair and impartial in delivering services to communities regardless of their political affiliation, is essential as a stabilizing force in the current context marked by armed conflict and other forms of political, social and economic grievances.

### **South-South and Triangular Cooperation (SSC/TrC)**

YECRP is the first large-scale attempt to operationalise a development approach within the Humanitarian Development and Peace nexus paradigm. The YECRP lessons learned study<sup>5</sup> points out that the ECRP represents one of the first large-scale attempts to operationalise a development approach within the Humanitarian Development and Peace (HDP) nexus paradigm. Based on its national scope and theory of change, it provides a clear conceptual articulation of what and how resilience programming can complement humanitarian and peacebuilding interventions.

There is high potential to replicate YECRP approach in other crisis countries learning from the lessons and Yemen experiences to generate peace dividends and support peace building process. Livelihoods restoration, local economy revitalization, recovery of services and local security and governance capacities contribute in evolving rapid and conducive environments and conditions to build peace dividends and peace building.

### **Knowledge and Communications**

In collaboration with the RPs, UNDP has put in place a communication and visibility strategy to ensure regular publicity and advocacy for YECRP and highlight partnership. The strategy is a framework for both UNDP and its partners to facilitate concerted efforts and coordinate joint visibility and advocacy, while ensuring compliance and consistency with the branding requirements.

Furthermore, this strategy outlines the joint objectives, key messages, and audiences to develop optimal visibility and advocacy, which goes beyond just highlighting results to showcasing with evidence the high impact and relevance of ECRP and its emergency response to the humanitarian crisis in Yemen. UNDP and its partners will take advantage of the ECRP's context and narrative to support broader messages, targeting policy makers and donors for future scale-up and to diversify the donor base.

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<sup>5</sup> Lessons learned study – Yemen Emergency Crisis Response Project (ECRP) – Inception Report and Preliminary findings, Spyros Demetriou, April 2019.

UNDP will continue to work with its partners to focus more on higher level advocacy abroad, targeting the donor community and international audience to showcase more aspects of the project and promote its crucial partnership with RPs as national service-delivery institutions whose existing local capacities and networks are critical to continue providing vital social and economic services to millions of vulnerable Yemenis in crisis.

**Risks and Assumptions:**

Full details are in the risk log in the annex 3.

**Political Risks:**

The political crisis and protracted conflict in Yemen, is still far from being resolved and has continued to cause inaccessibility to some sites and delays in delivery in many others. The risks of being impacted by the political fragmentation induced by the war is mitigated by their managerial independence stated in their respective laws. The UN works within complex dynamics reflecting competing interests of political actors and member states, limitations of responding to the scale of needs, a society under pressure and trauma, and security and access constraints. The UN maintains its operational integrity through adherence to principles of impartiality, human rights and inclusive humanitarian/civilian assistance and engages stakeholders clearly communicating these principles. UNDP coordinates with the Office of the Special Envoy to the Secretary-General and is a member of the Humanitarian Country Team and UN Country Team to collectively address political risks. To mitigate these risks, UNDP will put in place a communication strategy in cooperation with RPs and ensure regular Project monitoring, risk analysis and oversight. Grievances from beneficiaries and stakeholders will be channelled through mechanisms established within RPs and UNDP.

Besides, the de facto authority in the North has imposed more restrictions and demanding requirements to the movement of TPM or monitoring teams from UNDP and RPs to visit implementation in several sites particularly in most of the Northern districts. UNDP and the RPs mitigated such restrictions through emphasizing the neutrality and importance of the project and the need for facilitation of oversight to ensure accountability to all stakeholders, as well as by coordinating with other clusters for collective pressure against any arbitrary requirements. The participatory approach of the project which engages local authorities and different groups at local communities helped much in facilitating implementation and solving such restrictions and accessibility issues, too. However, the challenge is ongoing as the demands continue to change with the changes in the authorities, which entails more efforts and time on the part of the project partners to monitor closely and cope up accordingly.

**Operational Risks:**

Due to the ongoing conflict and related insecurity, the project will face some operational risks in relation to potential disruption in UNDP's business processes and project management services. UNDP has developed a Business Continuity Plan which ensures that the critical office functions can be performed from other locations if necessary. Outside Sana'a, UNDP plans to have staff presence in Aden, Ibb (also covering Taizz), Hodeidah, Hajjah and Sa'ada to interact with sub-offices of IPS and monitor field activities, UNDP will also rely on a contracted Third-Party Monitoring Agent to perform complementary monitoring of the project. The RPs are responsible to have a business continuity plan in place.

**Financial/fiduciary Risks:**

The financial and fiduciary risks are defined by a number of factors, including hyper-inflation, fraud, and cash advance management. To avoid exchange rate losses and other negative effects of working in the national currency, UNDP will transfer advances in US dollars to the RPs. UNDP's anti-fraud policy, the annual audits, regular spot-checking by UNDP staff, and the Third-Party Monitoring Agent are oversight measures over and above RPs internal procedures to mitigate the risk of fraud, misappropriation and diversion of funds. The Harmonised Approach to Cash Transfers (HACT) capacity assessment results will be used in strengthening the financial management capacities of the responsible parties. RPs will submit quarterly work plans with realistic budgets (cash forecasts) to UNDP to ensure that cash advances are cleared on a regular basis.

**Programmatic Risks:**

The programmatic risks for RPs are associated with access and targeting due to security or conflict-related obstacles, although mitigated by their widespread network. UNDP level risks are associated with UNDP's potential inability to verify results on the ground in a timely manner, potential inability to recruit staff in a timely fashion to support Project implementation, and potential inability (or significant delays) to meet delivery expectation/targets. The mitigation measures that have been put in place include the contracting of a Third-Party Monitoring Agent and advance recruitment before the KSA grant becomes effective to gain time. In addition, UNDP will review the results of the HACT capacity assessment of both responsible parties to ensure they have the requisite capacity to deliver the project results. A roll-out plan will be developed at the level of IPS to ensure rapid start-up and scale-up. UNDP will closely review the quarterly expenditure reports of the responsible parties to monitor financial delivery of the project.

**Social, Environment and Occupational Risks:**

The social and environmental risks of the project are related to potential adverse impacts to people and the environment. The project was originally categorized as Low Risk through UNDP's Social and Environmental Screening Procedure (SESP). However, during implementation several risks, mostly related to Occupational Health and Safety (OHS), were identified through TPMA and UNDP field visits. Hence, UNDP has commissioned external consultants and engaged its HQ specialists to assess the SES and develop Environmental and Social Management Framework (ESMF) to ensure policies and procedures are in place for consistent safeguards implementation across all sub-projects. 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, assessment of the institutional capacity of the implementing agency and measures for capacity-filling gaps. The ESMF was translated into Arabic, and disclosed in the websites of the UNDP, and RPs.

The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns about the social and environmental impacts of a UNDP project, supplementing the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle.

**Security Risks:**

The ongoing protracted conflict continues to pose significant security risks to the implementation of the project in the form of (petty) crime, air strikes, landmines and UXO, terrorist attacks, and ground combat, arbitrary arrests and detentions. This situation compounded by the breakdown of law and order and rise of crime and general insecurity. UNDP intends to mitigate these risks through close collaboration and coordination with the UN Department for Safety and Security, including the de-confliction protocols and strict adherence to UN security procedures. Staff training on conflict-sensitive communications and risk management will continue. A Third-Party Monitoring Agent will be contracted to conduct the monitoring of the implementation of the project in hard-to-reach areas. The Responsible Parties are facing similar risks with the regard to their staff and implementation of activities. The Responsible Parties have developed their own risk management policies and practices based on 20 years of experience in Yemen as well as working under the current circumstances of conflict. Both entities have been able to continue working in the country.

**Reputational Risks:**

In view of the scale and importance, the project also carries a reputational risk for UNDP as well as RPs. It may be subject to politically motivated defamation and it may be perceived as partial and biased vis-à-vis one or more parties to the conflict. UNDP's reputation as a reliable partner may be affected by issues arising from the project. To mitigate these risks, UNDP will put in place a communication strategy, strengthen Project oversight and quality assurance with documentation of issues, and work very closely with the responsible parties RPs. Grievances from beneficiaries and stakeholders will be channelled through mechanisms established within RPS and UNDP.

**Grievances**

Both Implementing Partners have a grievance mechanism in place based on their long experience of work in Yemen. It is generally referred to as the Complaints Handling Mechanism (CHM).

A complaint is considered an expression of dissatisfaction about the standard or quality of the Implementation partner's activities, or the actions or lack of actions taken by Implementation partner or its partners that directly or indirectly cause distress to the affected beneficiary or other party. In general, a formal CHM is required for those occasions when complaints cannot be resolved informally and an individual or organization wishes to put their complaint on record and to receive a formal response.

The objectives of CHM are as follows:

1. Improve accountability to RPs and beneficiaries;
2. Increase the level of beneficiaries' satisfaction with the delivery of services and enhance the relationship between beneficiaries and RPs;
3. Provide an efficient, fair and accessible mechanisms for resolving beneficiaries/partners complaints;
4. Guide RPs staff in handling complaints;
5. Allow to rectify mistakes, raise alertness to problems, and continuously learn and improve.

The CHM has a number of important principles:

1. Protect beneficiaries /partners rights to comment and complain.
2. Neutrality and equity while handling complaints
3. Timing: short cycle, quick response to the critical complaints.
4. Transparency: Partners will be aware of the procedures; understand its purpose, have sufficient information on how to access it and understand how it works.
5. Confidentiality: Create an environment in which people feel comfortable to raise concerns and grievances or stand in witness. Confidentiality assures that any information given is restricted to a limited number of people and that it is not disseminated widely, therefore offering an element of protection and security to the complainant.
6. Accessibility: The CHM will be easily accessed by as many people as possible within any stakeholder in the place where projects are being implemented

UNDP's corporate Stakeholder Response Mechanism (SRM) is intended to supplement the CHM of the Responsible Parties throughout the project cycle. The SRM provides an additional, formal avenue for stakeholders to engage with UNDP when they believe that the project may have adverse social or environmental impacts on them; they have raised their concerns with the Responsible Parties, and they have not been satisfied with the response through the CHM process. The SRM provides a way for UNDP to address these situations systematically, predictably and transparently.

UNDP's SRM is intended to:

- Improve environmental and social outcomes for local communities and other stakeholders affected by UNDP projects;
- Enhance UNDP's ability to manage risks related to its Social and Environmental Standards, in order to avoid or mitigate social and environmental impacts.
- Ensure that UNDP responds to the concerns of project stakeholders with regards to social and environmental risks and impacts;
- Ensure feedback and operational learning from the SRM, by integrating SRM requests, responses and results into UNDP's results-based management, quality assurance processes.
- Reflect and advance best practices among development institutions, whose stakeholders (including governments, civil society, indigenous peoples, and international partner agencies) increasingly expect social and environmental grievance resolution processes to be a regular, integrated part of project management.

## **Sustainability and Scaling Up**

Both IPs are well-established and credible national institutions that have delivered community development in Yemen for two decades. By helping to reactivate its operations during the parent and AF2 phases, the YECRP has contributed to the preservation and sustainability of its implementation capacity of much needed service delivery programmes. The nationwide coverage of RPs will enable scale-up, but 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. RPs have a strong partnership and donor support which will increase as the conflict winds down. The ECRP has acted as a catalyst and will enable attracting additional support from interested donors.

#### **Ownership and Self Reliance**

The use of community-based, participatory approaches and community contracting methodologies ensures responsiveness to local needs. This approach fosters social inclusion while promoting community self-reliance. Project activities will mobilize and empower a wide network of non-state partners including CBOs, NGOs, and private sector, also fostering civic engagement of the youth. The requirement for beneficiary communities to contribute to infrastructure project costs further contribute to strengthen local ownership.

#### **Social Cohesion & Peace-Building**

By providing income and job opportunities, facilitating community dialogue, promoting equality and inclusion, and providing the space for citizen engagement, the project will also support social cohesion and peace building efforts

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#### **IV. PROJECT MANAGEMENT**

The project will be implemented by UNDP through Direct Implementation Modality (DIM) with Responsible Parties (RRPs), that will be responsible for the delivery of the outputs 1 and 2 and UNDP for output 3, Effective Project Management and Oversight for Quality and Timely Delivery. The project will be implemented through the Yemen Emergency Crisis Response Project (YECRP) capitalizing on capacities built.

RPs as implementing partners will continue to deliver the agreed outputs based on a written Letter of Agreement (LoA) with UNDP. The RPs are directly accountable to UNDP in accordance with the terms of their LoA., UNDP with regard to the RPs, will continue to use a partner-based risk management approach in line with the UN Harmonized Approach Cash Transfers (HACT) policy.

UNDP will continue to reinforce the project management systems and capacities under YECRP including at RPs, with strengthen operational risk management and project approaches sensitive to the conflict and political environment in Yemen.

UNDP will continue to provide needed information and to enable smooth and speedy financial and operational transactions to facilitate timely implementation at the level of the RPs. UNDP will maintain regular interactions with RPs with UNDP staff presence in Sana'a, Hodeidah, Aden, and Marib for monitoring, quality assurance and as needed, management of complaints and grievances, as per agreed Grievance Redress Mechanism (GRM) under the project<sup>6</sup>.

Third party monitoring will also feed into UNDP's monitoring work. UNDP will prepare bi-annual narrative reports and end of project reports consolidating inputs from the Implementation partner as well as to convene project board meetings and undertake audits and evaluations<sup>7</sup>. Interim unaudited financial reports shall be prepared and submitted to the donor quarterly, no later than forty-five (45) days after the end of the period covered by the report.

UNDP will continue to coordinate with the Government of Yemen, relevant authorities at the sub-regional level for technical consultations, international partners and UN agencies to enable a conducive and coherent supporting environment for RPs.

#### **Compliance to Safeguards**

Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related accountability mechanism (Stakeholder Response Mechanism – SRM) (<http://www.undp.org/secu-srm>). YECRP will adhere to the Environmental and Social Management Framework (ESMF) developed based on the assessment of the SES risks (included in Annex 2 and under ESMF)<sup>8</sup>, identification of the risk mitigation measures including appropriate risk management plans at sub-project level agreed with the RPs. The ESMF has been endorsed by UNDP and RPs and it is available on the public website.<sup>9</sup>

To mitigate potential environmental safeguards risks and impacts, including those related to OHS, UNDP has developed an Environmental and Social Management Framework (ESMF) for YECRP which includes checklists for subproject screening. Activities classified under environmental category 'A' will not be financed. Subprojects will be screened for potential environmental impacts to determine if a subproject's ESMF is needed or mitigation measures included in the ESMF are enough. The ESMF sets out responsibilities for both

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<sup>6</sup> The GRM under YECRP will be strengthened under FAMINE RESPONSE to further engage community oversight and participation.

<sup>7</sup> Where available and feasible, UNDP will cooperate with other international donor partners for joint reviews and external audits (as in the case of IPs).

<sup>8</sup> Updated and included under the ECRP ESMF

<sup>9</sup> [http://www.ye.undp.org/content/yemen/en/home/library/crisis\\_prevention\\_and\\_recovery/environmental-and-social-management-framework--esmf--.html](http://www.ye.undp.org/content/yemen/en/home/library/crisis_prevention_and_recovery/environmental-and-social-management-framework--esmf--.html)



implementation and monitoring of mitigation measures. The ESMF was translated into Arabic and disclosed in English and Arabic by UNDP in-country on March 29, 2019. To mitigate potential risks and impacts related to OHS, UNDP has also developed a Framework for Actions on Occupational Health and Safety (OHS) under YECRP and a Toolkit for OHS Framework Implementation Support which will be applied under the project. Furthermore, capacity building programs were developed targeting different groups, particularly senior managers and officials of implementation and monitoring agencies on ESMF and OHS Framework. Other measures have been taken to enhance the institutional structure for managing environmental risks and impacts, including OHS.

UNDP will oversee the implementation of “Environmental and Social Management Framework (ESMF)” by the RPs. More specifically, RPs should ensure that:

- Sub-project screening and categorization must be conducted at the earliest stage of design when sufficient information is available for this purpose;
- Each of the sub-projects must be screened for social and environmental risks and impacts (including OHS risks) applying RPs screening tools;
- The screening of the subprojects must 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.
- 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);
- High Risk sub-projects must be excluded from funding. If high level risks are identified during implementation, Senior management of the Implementation partner 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; and
- On occurrence of any accident, RPs must inform UNDP Senior Management by electronic means (email) within two calendar days.

UNDP shall: (a) conduct project and programme-related activities in a manner consistent with the YECRP ESMF, which is aligned with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Stakeholder Response Mechanism (SRM). UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Stakeholder Response Mechanism (SRM).

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the YECRP ESMF. This includes providing access to project sites, relevant personnel, information, and documentation.

### **Project Management Team**

#### **Project Team**

The project will be implemented through the Yemen Emergency Crisis Response Project (YECRP) capitalizing on capacities built and sharing its resources under the leadership of the YECRP Project Manager. The core implementation team (Project Team) set up expanding YECRP team ensure an effective monitoring and oversight of activities on the ground, risk mitigation, and timely delivery of the results under FAMINE RESPONSE. The Project Team will continue to have geographic presence both in Sana’a and Aden to ensure geographic inclusion.

A National Project Coordinator will be recruited day to day coordination, planning and tracking implementation of the activities and report on results. Communication Specialist will be recruited to ensure that the project receives adequate support on communication of the results and higher and wider-level advocacy. A National Project and Finance Assistant will also be recruited to undertake the project finance

and admin tasks. In addition to a National MIS Specialist to set up and enhance the project work on information and data management.

Table 3 below elaborates on the current staff positions in the Team under the project, and the additional capacities under FAMINE RESPONSE.

**Table 3. Project Team Staff Composition**

	Level	Entry on Duty	Total Cost for FAMINE RESPONSE Duration
National Coordinator	SB5	Dec 2019	\$30,421.50
National M&E Officer	SB4	Dec 2019	\$17,864.00
Communications Officer	SB4	Dec 2019	\$20,412.00
Project Admin and Finance Assistant	SB3	Dec 2019	\$15,404.50
Management Information System Officer	SB4	Dec 2019	\$20,412.00
<b>Total</b>			<b>\$ 104,514.00</b>

**UNDP Country Office Oversight, Quality Assurance and Operational Support**

Other staff of the Country Office will also provide support to the implementation of the Project which is costed in the table below.

<b>V. RESULTS Framework</b>						
Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:						
Country Programme Framework (CPF: 2019-2021) Priority: Yemenis improve their livelihoods and access inclusive productive services.						
Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets: - Number of people benefitting from jobs and improved livelihoods in crisis or post-crisis settings, disaggregated by sex and other characteristics - Number of crisis-affected districts where critical benchmarks for local economic revitalization (LER) are met - Number and proportion of women among beneficiaries of recovery programmes						
Applicable Output(s) from the UNDP Strategic Plan: Eradicate poverty in all its forms and dimensions.						
Project title and Atlas Project Award ID: 00123521 – Yemen Emergency Crisis Response Project (YECRP) FAMINE RESPONSE						
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)	DATA COLLECTION METHODS & RISKS
			Value	Year		
<b>Output transversal indicator</b>	1. Number of direct beneficiaries of wage employment: (disaggregated by gender: women 30%; Youth 30%; IDPs/Returnees: 15%)	PWP/SFD	0	2019	7,953	Direct count of beneficiaries (wage employment) by the IP.
	2. Number of working days created (disaggregated by gender: women 30%; Youth 30%; IDPs/Returnees: 15%)	PWP/SFD	0	2019	188,600	Count of working days per beneficiaries of PWP interventions.
	3. Number of indirect beneficiaries from emergency jobs and other livelihoods in crisis or post-crisis settings (IDPs/Returnees, etc.) (IRRF 6.1.1.)	PWP/SFD	0	2019	47,718	Direct count of family members (6 individuals per household) from direct beneficiaries by the IP.
	4. Number of community people benefitting from improved community infrastructure, disaggregated by sex and other status (IDPs/Returnees, etc.)	PWP/SFD	0	2019	98,000	Beneficiaries received benefit/services from project supported community infrastructure (schools, water supply network, and public health awareness campaigns) by the IP. Do calculations Here
	5. Extent to which critical benchmarks are identified and actions implemented for local economic revitalization within 18 months after the start of crisis and/or UNDP intervention (IRRF 6.1.2)	UNDP	0	2019	(Fully Achieved)	UNDP assessment based on recommendation from IRRF methodological note.

	6. Extent to which national and/or sub-national institutions have improved capacities to lead and coordinate the early recovery process within 18 months of start of crisis and/or UNDP interventions. (IRRF 6.2.1.)	UNDP	0	2019	Physical infra: 2 Equipment vehicle: 2	UNDP assessment based on recommendation from IRRF methodological note.
<b>Output1: Providing income for vulnerable people and Expanding Delivery of Critical Services for Famine Response</b>						
	1.1.1 Number of direct workers of wage employment (IDPs/returnees: 30%)	PWP	0	2019	HR: 2	Direct count of beneficiaries (wage employment) by the IP.
	1.1.2 Number of indirect beneficiaries (household members) of wage employment	PWP	0	2019	Leadership: 2	Direct count of family members (6 individuals per household) from direct beneficiaries by the IP.
	1.1.3 Number of working days created (30% IDPs/Returnees)	PWP	0	2019	Institutional arrangement: 3	Count of working days per beneficiaries of PWP interventions.
	1.1.4 Number of people benefiting from community services	PWP	0	2019	98,000	Direct count of beneficiaries by IP
	1.1.5 Number of subprojects completed	PWP	0	2019	67	Direct count by IP
Result Area 1.1: Households and communities have access to clean water supply	1.2.1 Length of water rehabilitated supply networks	PWP	0	2019	11,000	Direct calculation by IP
	1.2.2 Number of water harvesting tanks constructed/rehabilitated	PWP	0	2019	17	Direct calculation by IP
	1.2.3 Amount of water harvested in cubic meters	PWP	0	2019	14,000	Direct calculation by IP
Result Area 1.2: Road rehabilitation expands access to critical services and local markets	1.2.1 Length of rehabilitated roads in km	PWP	0	2019	13	Direct count by IP
	1.2.2 Number of people benefited from rehabilitated roads	PWP	0	2019	38,000	Direct count of beneficiaries by IP
	1.2.3 Number of hectares of agricultural land protected/irrigated	PWP	0	2019	600	Direct count by IP
	1.2.4. Number of beneficiaries of agricultural land irrigation/protection	PWP	0	2019	4,500	Direct Count by IP

**Output 2: Boost the capacities of local food production to increase food availability, decreasing reliance on imports, revitalizing the local market and economy and generating sustainable employment opportunities**

	2.1 . Number of direct beneficiaries of wage employment: (disaggregated by gender: women 30%; Youth 30%; IDPs/Returnees: 15%)				1010	Direct count by IP
	2.2 . Number of working days created (disaggregated by gender: women 30%; Youth 30%; IDPs/Returnees: 15%)				46,600	Direct calculation by IP
	2.3 Number of indirect beneficiaries from emergency jobs and other livelihoods in crisis or post-crisis settings (IDPs/Returnees, etc.) (IRRF 6.1.1.)				5,718	Direct calculation by IP
	2.4 Number of livestock breeders supported with small ruminant breeding focusing on dairy production	SFD	0	2019	585	Direct count by IP
	2.5 Number of horticulture farmers supported to raise their production level to mitigate the food insecurity in their community and to create surpluses for animal fodder	SFD	0	2019	210	Direct count by IP
	2.6 Number of supported fishermen	SFD	0	2019	215	Direct count by IP
	2.7 Number of new jobs created under the project support	SFD	0	2019	4,500	Direct calculation by IP
<b>Output 3:</b>	3.1. Project Management Unit (PMU) established	UNDP		2019	1	Establishment of a fully functioning team on time
<b>Oversight, reporting and quality assurance of project ensured</b>	3.2. Communication Plan developed and rolled-out	UNDP		2019	1	Finalization of a Communication Plan for the 4 months of the project lifecycle approved by Project Board and roll out
	3.3. M&E Plan (including TPM and Final Evaluation) developed and rolled-out (including Final Evaluation)	UNDP		2019	1	Recruitment of the TPMA and finalization of the M&E Plan (including direct and indirect costs) approved by Project Board and rolled out

	3.4. Number of financial and narrative reports submitted on time	TPM/UNDP		2019	2	Two interim financial and narrative reports submitted to OCHA according to the MOU and addition to the final report. In addition, best available estimates of total funding from the Grant that has been committed but not yet spent at the time of each financial statement
	3.5. Number of M&E reports submitted on time	TPM/UNDP		2019	2	Number of Independent Verification Reports submitted to OCHA

## VI. MONITORING AND EVALUATION

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs. The quarterly reports will be considered as independent verification reports.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Project and UNDP
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required.	Quarterly	Risks are identified by project management and actions are taken to manage risk.	Project and UNDP
<b>Project Report</b>	A progress report will be presented to the Project Technical Review meetings and updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	quarterly, and at the end of the project (final report)	UNDP will present quarterly progress reports to the Project Board	UNDP
<b>ESMF Performance Review</b>	The progress on safeguard work and application of the YECRP ESMF will be assessed and undertake corrective actions as needed.	On-going	UNDP will reflect the review findings in the progress reports	UNDP and RPs
<b>Project Technical Review (Project Board)</b>	The project's governance will hold regular project reviews to assess the performance of the project and capture lessons.	6-monthly	Any quality concerns or slower than expected progress should be discussed and take management actions to address the issues.	UNDP

The monitoring of project outputs will continue to be undertaken at multiple levels. RPs will provide the first line of monitoring. UNDP will carry out regular monitoring through monthly review meetings, review of mandatory quarterly reports for quality assurance and verifications, field monitoring missions, and TPM reports.

As part of the risk mitigation measures, UNDP will continue to employ a Third-Party Monitoring Agent for the sole purpose of monitoring the implementation of the project. The Third-Party Monitoring Agent is expected to contribute to improving the development effectiveness and efficiency of the project through reviewing its performance and using evidence to propose adjustments to its programming for optimal results achievement.

## VII. MULTI-YEAR WORK PLAN

PLANNED ACTIVITIES	2019				2020				Planned Budget		Schedule of payments by UNDP	
	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Budget Description	Total Amount	2019	2020
Result Area 1. Expanded Delivery of Critical Services for Famine Response (WASH, Roads and Agricultural Lands)												
<b>Activity 1:</b> Provide Households and communities access to clean water supply				X	X				72100 - Civil Work - Rehabilitation of Water supply networks	\$467,500	0	\$467,500
									72100 - Civil Work -Rain water harvesting reservoirs	\$1,636,250	0	\$1,636,250
<b>Activity 2:</b> Expand access to critical services and local markets by Road rehabilitation				X	X				72100 - Civil Work - Stone Paving of Rural Roads	\$1,405,500	0	\$1,405,500
<b>Activity 3:</b> Enhance agricultural productivity and support food security by Protection of Agricultural Lands and Irrigation Channels				X	X				72100 - Civil Work - Agricultural land protection & irrigation	\$1,168,750	0	\$1,168,750
<b>Activity 4:</b> Operating expenses					X	X			71305 – Consultancy Services	\$400,000	\$4,000	\$440,000
									74599 - Operating expenses	\$385,000	\$20,000	\$365,000
<b>Sub Total</b>										<b>\$5,500,000</b>	<b>\$60,000</b>	<b>\$5,440,000</b>
Result Area 2. Local agricultural businesses including farmers, fishermen and livestock have increased productive capacities for high nutrition value food production												



Activity1: Local agricultural businesses including farmers, fishermen and livestock have increased productive capacities for high nutrition value food production				X	X				71305 – Technical Support to Beneficiaries	\$ 777,830.00	-	\$ 777,830.00
				X	X				71305– Grants	\$ 1,359,250.00	-	\$ 1,359,250.00
				X	X				75705 - Trainings & Workshops	\$250,250.00	-	\$ 250,250.00
Activity2: SMEPs Operating Cost									74105 -Management Direct Cost – Operating Cost	\$ 339,943.00	-	\$ 339,943.00
				X	X				74599 - Indirect Management Cost	\$ 272,727.00	-	\$ 272,727.00
<b>Sub Total</b>										<b>\$ 3,000,000.00</b>	<b>-</b>	<b>\$ 3,000,000</b>
<b>Total</b>										<b>\$8,500,000.00</b>	<b>\$60,000</b>	<b>\$8,440,000</b>
<b>UNDP Management Cost</b>												
Activity 1: Operating Cost				X	X				71400 - Staffing	\$170,165.25	\$8,472.25	\$161,693.00
				X	X				Project Operating Cost	\$50,887.84	\$5,000	\$45,887.84
				X	X				GOE	\$125,508.39	\$125,508.39	\$0.00
				X	X				Common Premises	\$83,250	\$83,250	\$0.00
				X	X				CO staffing Time	\$179,297.71	\$179,297.71	\$0.00
				X	X				Common Services	\$159,315.22	\$159,315.22	\$0.00
				X	X				72100 - Communication	\$70,000	0	\$70,000.00
									74100 - Audit	\$40,000	0	\$40,000.00
Activity2: M&E of the project				X	X				72100 - Evaluation	\$50,000	0	\$50,000.00
				X	X				72100 - TPM	\$80,000	0	\$80,000.00
				X	X				71600 - CO Direct Monitoring	\$15,385.11	0	\$15,385.11
GMS (5%)				X	X				75100 - GMS (5%)	\$476,190.48	\$31,042.18	\$445,148.30
<b>Sub Total</b>										<b>\$1,500,000</b>	<b>\$591,885.75</b>	<b>\$908,114.25</b>
<b>Total</b>										<b>\$10,000,000</b>	<b>\$651,885.75</b>	<b>\$9,348,114.25</b>

The overall proposed budget and breakdown by component is as follows:

Proposed Component Name	Cost US\$ millions
<p>Result Area 1. Expanded Delivery of Critical Services for Famine Response (WASH, Roads and Agricultural Lands)</p> <p>Result Area 2. Local agricultural businesses including farmers, fishermen and livestock have increased productive capacities for high nutrition value food production</p>	<p><b>8.500M</b></p> <p>5.5M</p> <p>3M</p>
<p>Project Management and Monitoring</p> <p>2.1 UNDP Indirect Cost 5%</p> <p>2.2 UNDP Direct Cost</p> <p>2.3 TPM and Evaluation</p>	<p><b>1.500M</b></p> <p>476.2k</p> <p>878.4k</p> <p>145.4k</p>
<b>Total:</b>	<b>10,000,000</b>

The breakdown of the cost of Output 3 are as follows:

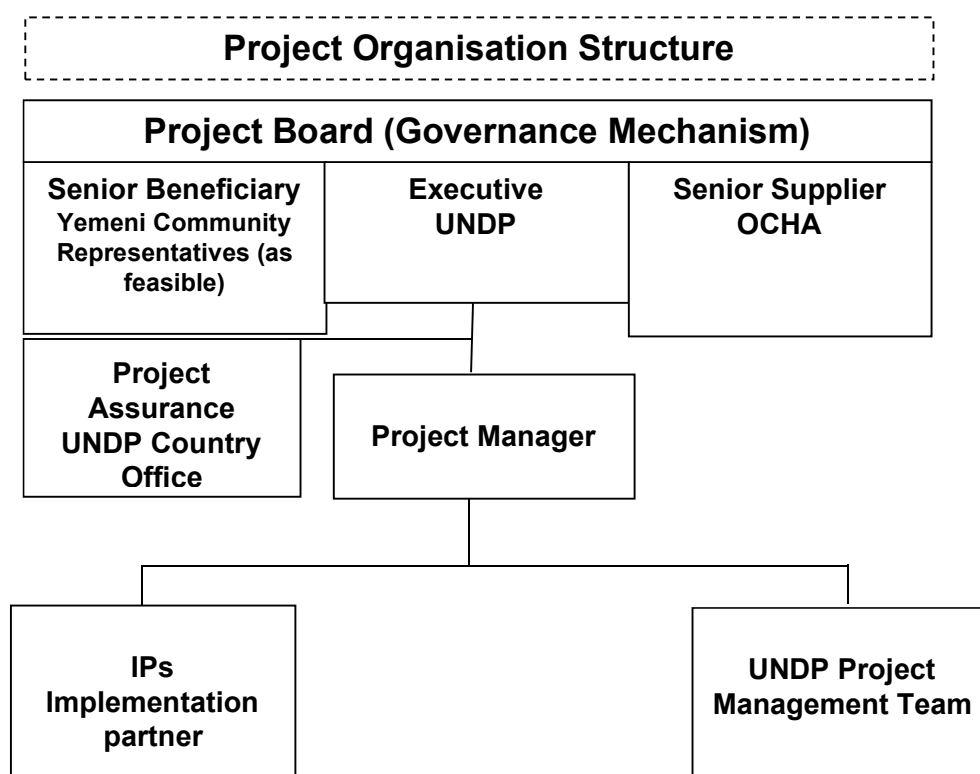
Item	Total
<b>Full time project staff</b>	
National Coordinator	\$45,632.25
M&E Officer	\$40,194.00
Communications Officer	\$30,618.00
Project Admin and Finance Assistant	\$23,103.00
Management Information System Officer	\$30,618.00
<b>Sub total</b>	<b>\$ 170,165.25</b>
<b>Country Office Staff - part time (estimated time contribution)</b>	
DRR (P) - 10%	\$18,352.25
TL - P5- 20%	\$32,910.38
Deputy TL - NOC - 13%	\$9,735.03
Programme Officer, ERRU - NOB - 20%	\$12,065.32
DCD (O) - (10%)	\$17,041.38
Programme Assistant, ERRU - G6 (20%)	\$7,000.39
Head of Aden Office- P4 (10%)	\$15,279.82
Deputy of Aden SO - NOC - 10%	\$6,953.59
Operations Manager - NOB - 10%	\$5,601.75
MSU TL - NOB - 10%	\$5,601.75
MSU Donor/M&E - NOB - 10%	\$5,601.75
Communication TL -P4- 10%	\$15,279.82
MSU Finance Assistant G6 - 10%	\$4,150.85
Communication Officer - NOA - 10%	\$4,551.73
Procurement Analyst - NOA (5%)	\$2,275.87
Travel Admin Assistant - G5 (15%)	\$4,443.48
Finance Associate (Finance Unit) - G7 (10%)	\$4,150.85
HR Officer - G7 - 10	\$4,150.85

ICT Assistant	\$4,150.85
<b>Total</b>	<b>\$179,297.71</b>
<b>Operating Expenses</b>	
General operating expenses	\$125,508.39
Common premises,	\$83,250
Common services	\$159,315.22
Project operation Cost	\$50,887.84
<b>Total Operating Expenses</b>	<b>\$418,961.45</b>
<b>Monitoring, Evaluation and Audit</b>	
Evaluation	\$50,000
Third Party Monitoring	\$95,385.11
Communication Visibility	\$ 70,000
Audit	\$40,000
<b>Total M&amp;E and Audit</b>	<b>\$255,385.11</b>
<b>Total Direct Cost</b>	<b>\$1,023,809.52</b>
<b>GMS (5%)</b>	<b>\$476,190.48</b>
<b>Grand Total</b>	<b>\$1,500,000.00</b>

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

UNDP will establish the Project Board/Project Technical Review as oversight and advisory authority, representing the highest body for coordination, strategic guidance, oversight and quality assurance. The body will facilitate collaboration between UNDP, and RPs, and other stakeholders for the implementation of the Project. The Project Technical Review will review and endorse the annual work plans (AWPs), will provide strategic direction and oversight, will review implementation progress, and will review narrative and financial progress reports.

The Project Technical Review will be convened by UNDP at least on a two-month basis. The Project Technical Review meetings will include senior programme managers from UNDP, and RPs. The review meetings will be chaired by UNDP Resident Representative or OIC and attended by Senior Management of RPs as well as the task leaders and middle management of the three agencies. The project team will coordinate with OCHA and FSAC during implementation and will share monthly reports and achievement and attend coordination meetings as needed.



The Project Board/Project Technical Review will ensure tracking of safeguards compliance and performance as stipulated in the YECRP ESMF. The Board/Technical Review will oversee and review the implementation of the Safeguards Instruments, giving details of:

- a) measures taken in furtherance of the Safeguards Instruments;
- (b) conditions, if any, which interfere or threaten to interfere with the smooth implementation of the Safeguards Instruments; and
- (c) remedial measures taken or required to be taken to address such conditions and to ensure the continued efficient and effective implementation of the Safeguards Instruments.

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## IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the Republic of Yemen and UNDP, signed on 11 April 1977. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP agrees to undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

### UNDP Anti-Fraud Policy

The Implementation partner has a general accountability for fiduciary management of funds put at their disposal by UNDP. In this regard, the Implementation partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, and responsible parties in implementing the programme/project or using the UNDP funds. The Implementation partner will ensure that appropriate financial management, anti-corruption and anti-fraud policies are put in place and are enforced for all funding received from or through UNDP.

The Implementation partner shall comply with and be subject to the requirements of the following documents then in force at the time of signature of the Project Document:

- (a) UNDP Policy on Fraud and other Corrupt Practices (“UNDP Anti-fraud Policy”);
- (b) UNDP Office of Audit and Investigations (OAI) Investigation Guidelines; and
- (c) UNDP Social and Environmental Standards (SES), including the related Accountability Mechanism (SRM), with the specific details pertaining to the project outlined in the ECRP ESMF.

The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this project document and are available online at [www.undp.org](http://www.undp.org).

In the event that an investigation is required, UNDP has the right to conduct investigations relating to any aspect of UNDP Projects, as per its mandate. The Implementation partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementation partner’s (and its consultants, contractors and subcontractors) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a problem in exercising this right, UNDP shall consult with the Implementation partner to find a solution in the best interest of both parties.

The Signatories to this Project Document will promptly inform each other in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementation partner becomes aware that UNDP has funded or is funding, in whole or in part, an activity that is the focus of investigation for alleged fraud/corruption, the implementing partner will inform the UNDP Resident Representative, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). The Implementation partner shall provide regular updates to the UNDP Resident Representative and OAI of the status of, and actions relating to such investigation.

With regard to the restitution of funds misused, including fraud or corruption, UNDP's anti-fraud policy, UNDP shall be entitled to a refund from the Implementation partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementation partner agrees that donors to UNDP whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, shall have recourse to the Implementation partner for the recovery of any funds determined by UNDP to have been used inappropriately, including fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

The Implementation partner shall ensure that the above provisions are included in all sub-contracts or sub-agreements entered into in connection with the project or programme.

Each contract issued by the Implementation partner in connection with the Project shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Responsible Parties shall cooperate with any and all investigations and post-payment audits.

Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the relevant national authorities shall actively investigate the same and prosecute all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

The project will strengthen the overall risk analysis and management mechanism, including regular updates on the contextual risks, as well as operational risks pertaining to the project, on a quarterly basis.

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## X. RISK MANAGEMENT

### UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>10</sup> [UNDP funds received pursuant to the Project Document]<sup>11</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each implementation partner, subcontractor and sub-recipient:
  - a. Consistent with Article III of the SBAA [or the Supplemental Provisions to the Project Document], the responsibility for the safety and security of each implementation partner, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such implementation partner's, subcontractor's and sub-recipient's custody, rests with such implementation partner, subcontractor and sub-recipient. To this end, each implementation partner, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    - ii. assume all risks and liabilities related to such implementation partner's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
  - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the implementation partner's, subcontractor's and sub-recipient's obligations under this Project Document.

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<sup>10</sup> To be used where UNDP is the Implementing Partner

<sup>11</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner



- c. Each implementation partner, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document apply to each implementation partner, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each implementation partner, subcontractor and subrecipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each implementation partner, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and subrecipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each implementation partner, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.
- g. Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each implementation partner, subcontractor and subrecipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.
- h. UNDP will be entitled to a refund from the implementation partner, subcontractor or subrecipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the implementation partner, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any implementation partner's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the implementation partner, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such implementation partner, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the implementation partner, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each implementation partner, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, mutatis mutandis, in all its subcontracts or sub-agreements entered into further to this Project Document.

## XI. ANNEXES

### Annex 1. SES Screening Template<sup>12</sup>

#### Project Information

<i>Project Information</i>	
1. Project Title	Yemen Emergency Crisis Response Project (ECRP) – Famine Response
2. Project Number	Award ID: 00123521
3. Location (Global/Region/Country)	Sana'a, Republic of Yemen

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

##### QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

###### *Briefly describe in the space below how the Project mainstreams the human-rights based approach*

The project upholds the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination based on gender, age, religion, political views or affiliation to parties to the current conflict, social or geographical origin, birth or other status. UNDP will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of the ECRP. The project also establishes a dedicated grievance mechanism and capacity to ensure that the duty-bearers are accountable to the rights-holders for the actions undertaken in the course of the project.

###### *Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment*

The project recognizes that in the midst of the current crisis in Yemen, women are adversely affected and at the same time asked to take on new and additional roles as heads of households or income-earners. The project will actively target women (at least 30% for SMEPS) to support their income-generation opportunities and contribute to the delivery of community services and livelihood assets through Cash for Work and Cash for Services.

###### *Briefly describe in the space below how the Project mainstreams environmental sustainability*

An Environmental and Social Management Framework will be developed for the project. This will ensure that social and environmental sustainability standards are applied to help mitigate potentially high adverse environmental and social impacts in the selection, prioritization and implementation of subprojects at community level, which UNDP will also closely monitor any negative environmental and social impact and ensure compliance with the safeguards through Third Party Monitoring. See ESMF.

#### Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?	QUESTION 3: What is the level of significance of the potential social and environmental risks?			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i>
There is a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals	I = 3 P = 4	Moderate		The conflict context may cause social tensions during implementation, concerning prioritization of subprojects, locations, and selection of participants.  Measures to be undertaken include a clear definition of targeting and selection criteria

<sup>12</sup> The approved and signed SES Template is already included in the ECRP ESMF, and will be uploaded in the intranet

				<p>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 RPS which are operating relatively independently from the government.</p> <p>CO will monitor the situation closely and on a systematic manner in order to make sure the project achieves its goal and objectives within the agreed timeline</p>
<p>The Project may potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.</p>	<p>I= 3 P=2</p>	<p><b>Moderate</b></p>		<p>The ECRP has mainstreamed gender considerations through its project approach, addressing gender equality from project identification, site selection, management and oversight.</p> <p>The project has actively targeted women (at least 30%) to support their income-generation opportunities and contribute to the delivery of community service and livelihood assets through Cash for Work and Cash for Services.</p>
<p>Small scale farming and livestock may cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services (For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes)</p> <p>Activities will include: Watershed Management/Water Channels, Rehabilitation of Farm Lands, Rehabilitation of Farm Irrigation Infrastructure, Agriculture Infrastructure, Agriculture Input Provision, Support to Livestock farmers.</p>	<p>I=3 P=2</p>	<p><b>Moderate</b></p>	<p>Although the projects are small scale in nature, the cumulative effects of providing support to communities may involve inadvertent impacts on ecosystems that can result in negative effect to ecosystem service provision and biodiversity.</p> <p>When further sub-project screening is conducted more information will be available as to the extent of the impacts and management measures required.</p>	<p>The ECRP applies a precautionary approach to the use, development, and management of natural habitats, the ecosystem services of such habitats, and living natural resources.</p> <p>As an integral part of the social and environmental assessment process, direct and indirect impacts on natural resources, biodiversity and ecosystem services in the Project's area of influence are identified and addressed. The assessment process will consider, inter alia (i) risks of habitat and species loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient loading, pollution, and (ii) differing values (e.g. social, cultural, economic) attached to biodiversity and ecosystem services by potentially affected communities. Potential cumulative and induced impacts will be assessed. Project-related impacts across potentially affected landscapes should be considered.</p> <p>Natural resources will be managed in a sustainable manner. This includes safeguarding biodiversity and the life-supporting capacity of air, water, and soil ecosystems. Sustainable management also ensures that people who are dependent on these resources are properly consulted, women and men have opportunities to equally participate in development, and benefits are shared equitably.</p>

<p>The Project involves the production and/or harvesting of fish populations or other aquatic species</p>	<p>I = 1 P = 2</p>	<p><b>Low</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 implementation.</p> <p>Some of the fishermen will be equipped with GPS or 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 management. The concept of sustainable and responsible fishing will be promoted through this partnership. Through its direct support to small scale fishermen, the project will improve community livelihoods and training on quality and resource sustainability to include the reduction of wastage.</p>
<p>The Project involves extraction, diversion or containment of surface or ground water</p>	<p>I = 3 P = 3</p>	<p><b>Moderate</b></p>	<p>The project rehabilitates existing water supply infrastructure at a small-scale and will not create new extraction points or new infrastructure for containment or diversion of water.</p>	<p>The project aims to rehabilitate or construct a total of 14,000 m<sup>3</sup> of water supply (including water catchments, reservoirs and maintenance of clean water supply etc.), which are relatively small-scale.</p> <p>In case of pumping wells, a monitoring of water level is needed to control the pumping and avoid draw down beyond the recharge (water balance).</p> <p>Overall the associated risks are expected to be small scale and readily managed. Site-specific management plans will need to be in place.</p>
<p>The potential outcomes of the Project may be sensitive or vulnerable to potential impacts of climate change.</p> <p>Yemen has a predominantly semi-arid to arid climate and is highly vulnerable to climate change-related impacts such as drought, extreme flooding, changes of rainfall patterns, increased storm frequency/severity, sea level rise. The literature shows 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)</p>	<p>I = 3 P = 2</p>	<p><b>Moderate</b></p>		<p>The proposed subprojects will be screened and assessed for climate change-related risks and impacts. The ECRP will ensure that the status and adequacy of relevant climatic information is identified. If significant potential risks are identified, further scoping and assessment of vulnerability, potential impacts, and avoidance and mitigation measures, including consideration of alternatives to reduce potential risks, will be required. The climate change risk assessment may focus on:</p> <ul style="list-style-type: none"> <li>-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.</li> <li>-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.</li> </ul>

<p>caused by rainfall variability are the key issues.</p> <p>The ECRP project activities related to agriculture (including farming, livestock) and fisheries and water (irrigation, catchment, conservation), will be most sensitive and vulnerable to the impacts of climate change.</p> <p>Some project activities that aim to increase water availability, may inadvertently lead to depletion of groundwater resources or diversion of sources to some communities in detriment of others if not properly managed based on appropriate climate risk information and management measures.</p>				<p>-Potential social, gender, and age risks, based on the differentiated impacts of climate change.</p>
<p>Elements of Project construction, operation, or decommissioning pose potential safety risks to local communities and workers.</p>	<p>I = 3 P = 3</p>	<p><b>Moderate</b></p>	<p>The project works through RPs who will be implementing the infrastructure rehabilitation projects (small-scale) according to their Operational Manuals vetted by UNDP, which includes safety standards. UNDP will carefully monitor the implementation through TPM and regular consultations with the partners.</p>	<p>Occupational Health and Safety risks are a priority for the ECRP project. An OHS Framework and Toolkit have been developed and should be applied at the sub-project level. This complements measures already applied by RPs through implementation of their operating manuals. See OHS Framework for further details.</p> <p>Potential impacts may include insufficient safety standards used in construction/rehabilitation of small-scale infrastructure; dust and noise during construction/rehabilitation; and/or insufficient removal of construction waste after project completion. There may also be safety issues related to the ongoing conflict and security measures in place.</p> <p>OHS risks will be monitored carefully and all incidents reported.</p>
<p>Failure of structural elements of the Project poses risk to communities and workers (e.g. collapse of buildings or infrastructure)</p>	<p>I = 4 P = 2</p>	<p><b>Moderate</b></p>		<p>The project works through RPs who will be implementing the infrastructure rehabilitation projects (small-scale) according to their operating manuals and the ESMF, which includes safety standards. UNDP will carefully monitor the implementation through TPM and regular consultations with the partners.</p> <p>The project aims to support the rehabilitation/reconstruction of community infrastructure (i.e. damaged classrooms, small-scale infrastructure for flood prevention etc.). These will be mitigated by the 20-years of experience of the RPs in managing project impacts successfully according to their Operational Manual (endorsed/approved by UNDP BMS) that lay out clear criteria for small-scale infrastructure rehabilitation to identify, eliminate and address potential safety risks and UNDP field monitoring including TPM.</p>
<p>Potential risks to community health and safety due to the transport, storage, and use</p>	<p>I = 4 P = 2</p>	<p><b>Moderate</b></p>		<p>Appropriate management measures have been put in place. A detailed risk categorization was developed for the</p>

and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)				purpose of identifying sub-project level risks to enable halting any salient high-risk projects from further implementation until adequate management measures are put in place. Additionally, a specialized consultant was hired to develop management plans, screening checklists, and ensure high frequency of field monitoring. Additionally, support to the Responsible Parties has been reinforced by training and monitoring and capacity assessments. The results the latter measures taken by UNDP are included in a detailed report "OHS Framework". The report highlights both the stated results and management measures underway.
<p>Potential for increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections).</p> <p>The project will support the construction and/or rehabilitation of pit latrines, sewage systems, provide agriculture inputs that may include pesticides, support small health care centres infrastructure or services, cleaning up public spaces that may include municipal solid waste, and sewage that may include hazardous/human excreta and waste.</p>	I = 2 P = 1	<b>Low</b>		<p>In cases where there may be pollution, a site-specific pollution prevention plan should be put in place and monitored.</p> <p>Sub-projects will avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances.</p> <p>Pollution prevention and control technologies and practices consistent with international good practice are applied during the project life cycle. The technologies and practices applied will be tailored to the hazards and risks associated with the nature of the Project.</p>
<p>Potential for activities that result in localized pollution.</p> <p>The project will support the construction and/or rehabilitation of pit latrines, sewage systems, provide agriculture inputs, support small health care centers infrastructure or services, cleaning up public spaces that may include municipal solid waste, and sewage that may include hazardous/human excreta and waste. Minimal and localized air, water, and noise pollution possible.</p>	I = 2 P = 1	<b>Low</b>		<p>In cases where there may be pollution, a site-specific pollution prevention plan should be put in place and monitored.</p> <p>Sub-projects will avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances.</p> <p>Pollution prevention and control technologies and practices consistent with international good practice are applied during the project life cycle. The technologies and practices applied will be tailored to the hazards and risks associated with the nature of the Project.</p>
Sub-project may involve the application of pesticides that may have a negative effect on the environment or human health.	I = 2 P = 1	<b>Low</b>		<b>Pesticide use and management:</b> For Projects involving pest management activities, the social and environmental assessment will ascertain that any pest and/or vector management activities related to the ECRP are based on integrated pest management approaches and aim to reduce reliance on synthetic chemical pesticides. The integrated pest/vector management programme will entail coordinated use of pest and environmental information along with available pest/ vector control methods, including cultural practices, biological, genetic and, as a last resort, chemical means

			<p>to prevent unacceptable levels of pest damage. When pest management activities include the use of pesticides, pesticides that are low in human toxicity, known to be effective against the target species, and have minimal effects on non-target species and the environment will be selected. The health and environmental risks associated with pest management should be minimized with support, as needed, to institutional capacity development, to help regulate and monitor the distribution and use of pesticides and enhance the application of integrated pest management.</p> <p>The ECRP will not use products that fall in Classes Ia (extremely hazardous) and Ib (highly hazardous) of the World Health Organization Recommended Classification of Pesticides by Hazard. WHO Class II (moderately hazardous) pesticides will not be used if the relevant Implementation partner 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.</p>
<p>The ECRP may result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices).</p> <p>As the project conducts small scale infrastructure activities related to community works such as road paving, community reservoirs and piping, and repairing of school buildings in addition to others these project activities, although may not target the rehabilitation of Cultural Sites directly, they may be located in the vicinity of cultural heritage sites and consequently produce unintended negative effects on such sites.</p>	<p>I = 3 P = 3</p>	<p><b>Moderate</b></p>	<p><u>The ECRP will avoid and/or mitigate any impacts on cultural heritage</u> through alternative project siting and design. The impacts on Cultural Heritage resulting from project activities, including mitigating measures, may not contravene the national legislation, or its obligations under relevant international treaties and agreements.</p> <p>Where potential adverse impacts are unavoidable, appropriate mitigation measures will be identified and incorporated as an integral part of the social and environmental assessment process. Where potential adverse impacts may be significant, a Cultural Heritage Management Plan should be developed as part of the Environmental and Social Management Plan (ESMP).</p> <p>For projects with potential adverse impacts, qualified and experienced independent experts will assess the project's potential impacts on Cultural Heritage using, among other methodologies, field-based surveys and involving meaningful, effective, and informed stakeholder consultations as part of social and environmental assessment process.</p> <p><b>Note:</b> RPs have a quality assurance system in place for Cultural Heritage interventions and a separate Cultural Heritage Unit.</p>
	<p><b>QUESTION 4: What is the overall Project risk categorization?</b></p>		
	<p>Select one (see <a href="#">SESP</a> for guidance)</p>		<p>Comments</p>
	<p><i>Low Risk</i></p>	<p><input type="checkbox"/></p>	



	<i>Moderate Risk</i>	X	Given the need for further assessment and management measures at the sub-project level, an Environmental and Social Management Framework will be developed for the project.
	<i>High Risk</i>	<input type="checkbox"/>	
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		<b>Comments</b>
	Check all that apply		
	<i>Principle 1: Human Rights</i>	X	
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	X	
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	X	
	<i>2. Climate Change Mitigation and Adaptation</i>	X	
	<i>3. Community Health, Safety and Working Conditions</i>	X	
	<i>4. Cultural Heritage</i>	X	
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
<i>7. Pollution Prevention and Resource Efficiency</i>	X		

Annex 3: Risk Analysis Log (updated December 2019)

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	<p>Enter a brief description of the risk</p> <p><i>(In Atlas, use the Description field. Note: This field cannot be modified after first data entry)</i></p>	<p>When was the risk first identified?</p> <p><i>(In Atlas, select date. Note: date cannot be modified after initial entry)</i></p>	<p>Environmental Financial Operational Organizational Political Regulatory Strategic Other</p> <p>Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information)</p> <p><i>(In Atlas, select from list)</i></p>	<p>Describe the potential effect on the project if this risk were to occur</p> <p>Enter probability on a scale from 1 (low) to 5 (high) P =</p> <p>Enter impact on a scale from 1 (low) to 5 (high) I =</p> <p><i>(In Atlas, use the Management Response box. Check "critical" if the impact and probability are high)</i></p>	<p>What actions have been taken/will be taken to counter this risk?</p> <p><i>(In Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to record updates at different times)</i></p>	<p>Who has been appointed to keep an eye on this risk?</p> <p><i>(in Atlas, use the Management Response box)</i></p>	<p>Who submitted the risk?</p> <p><i>(In Atlas, automatically recorded)</i></p>	<p>When was the status of the risk last checked?</p> <p><i>(In Atlas, automatically recorded)</i></p>	<p>e.g. dead, reducing, increasing, no change</p> <p><i>(in Atlas, use the Management Response box)</i></p>
1	<p>Undue influence, control, and/or obstruction from political and terrorist forces on the management and delivery of the project.</p>		<p>Political</p>	<p>Excessive influence will stall the implementation of the project and affect its perceived neutrality and</p>	<p>This risk is mitigated through the implementation modality and strategy. UNDP implements the project through responsible parties:</p>	<p>PM</p>	<p>PM</p>	<p>September 2019</p>	<p>Increasing</p>

			<p>impartiality in the conflict. Over the previous period, there was some increased demands, and indications by authorities to have a firm grip on the project in planning and targeting, and monitoring, esp. in the North (NAMCHA, MOPIC in the South and the North &amp; other ministries)</p> <p>P = 2 I = 5</p>	<p>IPS which are relatively independent from the government. UNDP, in consultation with the RPs are engaging with respective 'government' authorities to ensure necessary cooperation for smooth operations. RPs continue addressing potential political influence through following YECRP targeting approach that ensures justified and balanced fund allocation, building on the well-known autonomy and neutrality of themselves and the UNDP, coordinating closely with communities and local authority. Keep monitoring the situation and work collectively with clusters to handle concerns in this regard. In addition, the project</p>				
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					has developed a Communication Strategy which includes government consultations, citizen engagement and public outreach.				
2	Potential disruption in UNDP's business processes and project management services due to conflict		Operational	Attacks on UNDP's premise and staff will further reduce business operations in country  P = 2 I = 3	UNDP has developed a Business Continuity Plan which ensures that the critical office functions can be performed from other locations if necessary. Similarly, the responsible parties, IPS, have business continuity plans in place. UNDP also relies on a contracted Third Party Monitoring Agent to perform the monitoring function of the project. Besides, UNDP and RPs has been working together and coordinating with the Clusters to ensure appropriate approach of mitigating the potential pressure	PM	PM	September 2019	No change

3	Hyper-inflation, fraud, and cash advance management		Financial	<p>Financial irregularities and losses will have a negative impact on delivery, credibility, and trust of the stakeholders of the project</p> <p>P = 2 I = 4</p>	<p>To avoid exchange rate losses and other negative effects of working in the national currency, UNDP transfers advances in US\$ to the RPs. Furthermore, RPs have continuously dialogued and coordinated with banks to improve services, instructed Banks to follow the UN Exchange Rate, were urged to pay in USD whenever possible, and planned cash forecasts at the geographical level to enable banks to mobilize cash as required. UNDP's robust anti-fraud policy, the annual audits, regular spot-checking by UNDP staff, and the Third Party Monitoring Agent are mitigating measures to avoid fraud, misappropriation and diversion of funds. The HACT capacity assessment results</p>	PM	PM	September 2019	Increasing
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					will be used in strengthening the financial management capacities of the responsible parties. UNDP also requires quarterly work plans with realistic budgets (cash forecasts) to ensure the responsible parties will be able to clear outstanding advances on a regular basis.				
4	Inability to verify results on the ground in a timely manner, potential inability to recruit staff in a timely fashion to support Project implementation, and potential inability (or significant delays) to meet delivery expectation/targets		Organizational	Delays on the part of UNDP will negatively affect the speed of implementation which is crucial to the impact of the project.  P = 2 I = 3	Mitigation measures in place include the Third Party Monitoring Agent. In addition, UNDP reviewed the results of the HACT capacity assessment of the responsible parties to ensure they have requisite capacity to deliver project results. UNDP closely reviews the quarterly expenditure reports of the responsible parties to monitor financial delivery of the project. For the RPs, they used local consultants	PM	PM	September 2019	No Change

					and staff and intensified communication with local communities and other concerned authorities to sort out access issues.				
5	UNDP's activities directly impacted by potential air strikes, landmines and UXO, terrorist attacks, and ground combat.		Security	UNDP's business operations, and access/reach may be adversely affected.  P = 3 I = 3	UNDP mitigates these risks through close collaboration and coordination with the UN Department for Safety and Security, including the de-confliction protocols and strict adherence to the MOSS and MORSS standards. A Third Party Monitoring Agent has been contracted to conduct the monitoring of the implementation of the project.	PM	PM	September 2019	No change

6	UNDP may subject to politically motivated defamation, and may be perceived as partial and biased vis-à-vis one or more parties to the conflict		Organizational	UNDP's image may be tarnished and project implementation be compromised  P = 1 I = 3	UNDP has put in place a robust communication strategy, strengthened Project oversight and quality assurance in the Country Office, works very closely with RPs, and supported the development of grievance redress mechanisms at RPs and UNDP.	PM	PM	September 2019	No change
7	UNDP may be subject to legal suing, public pressure or reputational defamation by people who might be seriously injured or even might lose life during work in the work sites.		Organizational	This pose risks on the reputation of the project stakeholders and may cause termination of the project as the donor expressed zero tolerance in such cases  P = 1 I = 4	UNDP has deployed the TPMA to investigate reported fatalities and reminded RPs the importance of timely reporting and handling of injuries and/or fatalities. UNDP commissioned consultancies to support the RPs in reviewing their OHS and relevant provisions to minimize incidences and project liabilities.	PM	PM	September 2019	No change