



**United Nations Development Programme**  
**Project Document for the Government of the Republic of**  
**Yemen**



Empowered lives.  
Resilient nations.

**Project Title:** Emergency Mine Action Project

**Project Number:** 00099753

**Implementing Partner:** UNDP

**Start Date:** 1<sup>st</sup> July 2017 **End Date:** 30<sup>th</sup> June 2020

**PAC Meeting date:** 7<sup>th</sup> May 2017 & Mutual LPAC

**Brief Description**

The majority of Yemen's legacy mine and ERW contamination is found in the southern coastal governorates and on the northern border governorates with Saudi Arabia plus Sana'a, Marib, Al Jawf and Hodeidah. Fighting since 2011 has added to the scale and complexity and left widespread contamination throughout much of the country particularly in the western part of the country where the majority of the population reside. Specifically, large tracts of land are now contaminated with UXO in areas of direct and indirect land warfare and the aerial campaign has added the new threat of unexploded aircraft bombs, particularly cluster-type munitions in the middle and northern regions of the country. The overarching principles of the UNDP Mine Action intervention are: to assist in the restoration of normal services; allow access to the infrastructure; reduce injuries and fatalities all of which are a prerequisite to the normalisation of economic activity in many of the most impacted regions of the country. UNDP will assist NMAC/YEMAC to re-structure where required and be technically competent to conduct the efficient and effective physical operations in order to reduce the socio-economic impact of explosive remnants of war and mines on people and communities.

Expected results of the project are: Output 1.1 Mine and UXO contamination is mapped and impact assessed nationwide using primary and secondary sources; 1.2 Mines and UXO are efficiently cleared in identified priority areas; 1.3 The awareness of the threat posed by mines and UXO is increased in affected communities; 1.4 Survivors of ERW incidents are effectively screened, supported and rehabilitated. All interventions will be conducted in accordance with IMAS/NMAS (International Mine Action Standards, National Mine Action Standards) and coordinated by YEMAC with UNDP support.

Contributing Outcome (UNDAF/CPD, RPD or GPD): **Outcome 5 (UNDP Strategic Plan - Global):** Countries are able to reduce the likelihood of conflict, and lower the risk of natural disasters, including from climate change;

Indicative Output(s): as indicated in the Results Framework

<b>Total resources required:</b>		\$39,931,920
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
	<b>UK FCO:</b>	\$ 1,128,287
	<b>US DoS:</b>	\$ 7,007,858
	<b>Netherlands</b>	\$ 1,121,042
	<b>Germany</b>	\$ 560,000
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>		\$30,114,733

Agreed and Signed by UNDP:

  
Auke Lootsma,  
Country Director

Date: 22 June 2017



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## I. DEVELOPMENT CHALLENGE

The majority of Yemen's legacy mine and ERW contamination is found in the southern coastal governorates and on the northern border governorates with Saudi Arabia plus Sana'a, Marib, Al Jawf and Hodeidah. Fighting since 2011 has added to the scale and complexity and left widespread contamination throughout much of the country particularly in the western part of the country where the majority of the population reside. Specifically, large tracts of land are now contaminated with UXO in areas of direct and indirect land warfare and the aerial campaign has added the new threat of unexploded aircraft bombs, particularly cluster-type munitions in the middle and northern regions of the country. YEMAC does not have currently the capacity to deal with the scale of contamination and is neither trained nor equipped to deal with the latest technical threats. During the fluid conflict, the challenges of reaching the most impacted population groups, particularly IDP (Internally Displaced People), are complex and multi-faceted. Proactive and preventative measures include risk education, contamination survey and clearance. The reactive component of the project is victim rehabilitation.

**Restoration.** Overarching principles of the UNDP Mine Action intervention are: to assist in the restoration of normal services; allow access to the infrastructure; reduce injuries and fatalities all of which are a prerequisite to the normalisation of economic activity in many of the most impacted regions of the country. UNDP will ensure NMAC/YEMAC are re-structured where required and technically competent to conduct the efficient and effective physical operations in order to reduce the socio-economic impact of explosive remnants of war and mines on people and communities.

**Relevance.** UNDP's Mine Action intervention adheres and contributes to the UNDP Yemen CPD with the ultimate goal to increase people's self-reliance and revitalise the local economy. In support of NMAC/YEMAC, UNDP: assist institution building and capacity development; provide operational support; transfer technical knowledge and assist in resource mobilisation to achieve the following outputs:

- Output 1:** Mine and UXO contamination is mapped and impact assessed using primary and secondary sources.
- Output 2:** Mines and UXO are cleared in identified priority areas.
- Output 3:** The awareness of the threat posed by mines and UXO is increased in affected communities.
- Output 4:** Survivors of ERW are more effectively supported and rehabilitated socio-economically.

During 2016, with the assistance from UNDP, YEMAC cleared an area of over 3M square meters, cleared approximately 263,000 different types of mines and UXO/AXO and destroyed 180,000 pieces. The mine risk education activities of YEMAC and other partners reached over 350,000 people, of whom 140,000 IDPs. The Victim Assistance department of YEMAC, screened over 4,000 survivors of which almost 500 were directly assisted with various aid. The estimated total of direct beneficiaries of all of the aforementioned activities is around 1.4M throughout the country.

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## II. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)

Resilience frameworks, at both the global and local levels, address transformational changes required to achieve sustainable well-being and account for the adaptations needed. These frameworks also call for developing capacities to prevent, mitigate, respond and recover quickly from all the shocks that a system may be exposed to in the course of this transition to sustainable development. The increasing frequency and severity of these shocks (environmental, economic, political, etc.), accelerated by conflict and outdated operating systems, lead UNDP to engage with the individual, community and institutional transformations that are needed for early recovery and at some point, sustainable development.

The surveying of mine and UXO contamination and clearance of hazardous areas is an essential component of reducing the impact of the conflict on people. The IMAS guidelines and requirements will form the basis for all Land Release activities. Information on the extent of contamination and its geographical spread and clearance leads to land and facilities being declared safe. This in turn allows for agricultural production, local service delivery and economic activity as well as a drastic reduction of the actual number of casualties. Mine risk education contributes to reducing the number of victims through behavioural changes, while reintegration of victims provides for more equitable access to public services, mitigating the negative impact of war on people and reducing the burden on communities.

During the implementation of the project, UNDP/NMAC/YEMAC will consider the following strategic elements within the plans:

**Structural Reform.** Separate conflicting functions within YEMAC where required. Particular attention is brought to the conflict of interest between the conduct of field operations and the self-regulation and quality management.

**Organisation.** Adopting the principle of local solutions to local problems, UNDP will support YEMAC field operations branches for the purposes of local operational planning. The intention is for YEMAC as an institution to maintain the core function of co-ordination.

**Technical Assistance.** UNDP technical assistance will be provided to develop the organisational structure of YEMAC and its capacity towards more efficient organisation and the adoption of effective methodologies. Land Release will be conducted according to National Standards as a minimum and emphasis placed on survey methodologies to reduce the costly burdens associated with full clearance operations.

**Direct Victims.** Whether physical, mental or through association, victims are deemed a particularly vulnerable group and that will be paid particular attention to during project implementation. Essential in the short-term is to ensure that all sectors of the community, regardless of gender, age group, ethnicity, tribal attachment, minority or vulnerable grouping are included and have their needs included based on the priorities. Inclusivity is addressed during the planning phase and based on surveys, whether from primary or secondary sources.

**Resource Mobilisation.** UNDP will work closely with NMAC/YEMAC to continue and if possible increase resource mobilisation. The aim is to increase YEMAC operational assets. The target is a minimum of \$15M of funding to be available per annum including running costs and investment to expand operational capacity.

**National Model Structure.** UNDP will endorse and support a single NMAC and YEMAC national model and adapt as and when the political situation demands an alternative approach.

**International Support.** In agreement with NMAC/YEMAC on a needs basis, engage international organisations to assist in the implementation of mine action where a comparative advantage for doing so can be identified and separate funding made available.

**Counter IED and SALW proliferation.** Consider Counter-IED (Improvised Explosive Device) threat and longer-term interventions and agency co-ordination in a separate stream outside of YEMAC's realm of responsibility as a component within the SSR (Security Sector Reform). The same principle to be applied to mitigating the impact and proliferation of SALW (Small Arms and Light Weapons).

**Land Release.** Separate to the peripheral mine action activities, the core activities of survey/mapping and clearance operations should be given priority.

**Allocation of Resources.** UNDP will endeavour to support YEMAC's annual work plans that are pre-agreed between UNDP and YEMAC where capacity and financial resources allow. Under DIM (see below), UNDP will allocate financial resources based on international best practices and procedures of traceability and transparency. UNDP/NMAC/YEMAC will review the Project Document and work plans not less than every six months and recommend any significant changes and planned deviations to the Board. In agreement between NMAC and UNDP, available resources shall be distributed equitably throughout Yemen based on priorities and a needs assessment. The principles of allocations are to:

- ensure compliance with terms and condition of funding agreements
- ensure financial transparency and accountability
- ensure operational efficiency and effectiveness
- avoid funding gaps and duplications
- resources should be allocated on the ground on equitable basis according to needs
- assist in the conduct of an external audit as may be required

**Personnel Costs Supported by UNDP.** According to the pre-agreed staffing levels between UNDP and YEMAC, UNDP shall endeavour to pay allowances to field staff and other specialists according to funds available and only those staff pre-agreed by UNDP and formally employed by YEMAC holding identity cards. Such allowances are paid extraordinarily and are not to be considered the right of the individuals concerned and may be revoked upon UNDP's review. Further, any individual deemed eligible for such allowances will receive sums according to the pre-agreed levels outlined in YEMAC's policy and those personnel detailed within the organisational chart and staffing lists. Field allowances are not according to seniority within YEMAC but paid as a reflection of individuals' cost of operating while national resources may be insufficient to meet the need.

**DIM (Direct Implementation Modality).** Implementation by UNDP through co-operating partners in Yemen is bound under the rules of Direct Implementation through 2017 and by potential extension.<sup>1</sup>

**Dissemination of Information.** YEMAC will publish their organisational chart with lines of responsibility, functions and numbers of personnel. Contamination information should be considered open-source for interested parties. Transparency of operations and financial matters are to be prioritised by the stakeholders.

**APMBC (Anti-Personnel Mine Ban Convention) Obligations.** Review APMBC obligations and apply for an extension to those national obligations early 2019 before the 2020 deadline. Concurrently, where the humanitarian priority exists, NMAC/YEMAC shall prioritise mitigating the impact of landmines and implement articles of the convention.

**CCM (Convention on Cluster-Munitions).** NMAC/UNDP will investigate and advocate the viability of Yemen acceding to the CCM, report on findings and advise the government for their consideration.

**Environment:** Climate change and population growth combined place more pressure on critical resources particularly water and food, exacerbated by conflict. Yemen is very vulnerable and ill-prepared to address these changes. As part of the prioritisation process for survey and clearance, YEMAC will incorporate environmental factors to assist Yemen's development and preparedness in support of environmental projects. In addition, methodologies adopted in the field, particularly during clearance activities, YEMAC will consider and adopt minimal invasive techniques to reduce or avoid completely any environmental impacts.

**Gender.** UNDP and through default its partners, is committed to addressing the gender elements of projects during the planning, implementation and monitoring phases. Inclusivity is addressed during the

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<sup>1</sup> BPPS Development Impact Group and RBAS directive, (22 December 2016) *Authorisation of direct execution of the Yemen Country Programme until 31 December 2017.*

planning phase and based on surveys, whether from primary or secondary sources. The target for clearance, risk education and victim assistance and the decision making processes, is to reach all segments of society. In addressing gender mainstreaming and gender balance the project will ensure that the capabilities, contributions, concerns and needs of women, girls, boys and men are either acknowledged or addressed within the scope of its activities. The project will strive to have equal representation of women, girls, boys and men with access to and participation in mine action programmes as beneficiaries and employees in the decision making processes.

**Conflict sensitivity.** The project will mainstream conflict sensitivity through the transparent allocation of resources using statistics from national surveys and UN figures for district and governorate levels, in the selection and inclusion of the direct beneficiaries based on a transparent eligibility criteria and consultations with communities and leaders. The project will be implemented based on a contextual analysis to ensure that the interventions do not cause or escalate conflicts in the target areas with a close monitoring and planning to identify and mitigate possible conflicts and associated risks. The activities will be designed to contribute to the rebuilding and strengthening of the social fabric in the communities.

**Capacity strengthening of NMAC and YEMAC.** Both organisations have long experience and expertise in managing mine action in Yemen. A rapid capacity assessment exercise at the management and operations level of NMAC/YEMA should be undertaken to identify critical areas for improvement and capacity strengthening activities. The management component of the capacity assessment exercise includes organisational structure and functions; job knowledge; teamwork; motivation and professional growth and priorities for capacity strengthening. At the operations level, the capacity assessment covered composition and structure of mine action assets available for deployment, restructuring these assets and shortfall of qualified/trained personnel, materials and equipment. Based on the findings of the rapid capacity assessment, key capacity strengthening elements will be identified and addressed during the planning phases.

**National Mine Action Strategy.** Subject to a robust peace process in Yemen, UNDP/NMAC/YEMAC shall develop a national strategy to reflect a changed situation in accordance with the APMBC and explosive contaminants. In the interim, UNDP will rely on pre-agreed annual work plans between UNDP and YEMAC in line with the above.

## **Theory of Change**

As highlighted, the impact on Yemen from mines and other ERW is severe in many parts of the country. Even during conflict, YEMAC is active and has had notable success improving people's lives and livelihoods, decreasing casualties and enhancing compliance with the APMBC. In addition, mine action intervention has often been demonstrated in Yemen as a prerequisite for other humanitarian or development activities.

The theory of change is based on the assumption the impact of the conflict on people can effectively be mitigated and capacity for increased resilience at the community level can be strengthened, reducing people's reliance on humanitarian assistance and increasing the prospect of early recovery.

Risk education is designed to change people's behaviour but statistics of casualties during conflict when there is a rising threat makes any beneficial analysis of the activity impossible. Evidence from similar theatres post-conflict draw the conclusions that behaviour, particularly among high-risk groups, does change and risk education does reduce the casualty rates.

Survey and clearance when well targeted against high-threat ERW, contributes both as a preventative measure to casualties and an enabler to improved livelihoods and economic activity. Survey and clearance activities are, and will be, targeted towards high-impact, high-threat areas. More systematic clearance of identified hazardous areas may commence at the end of hostilities according to the humanitarian and economic priorities.

The results framework attached outlines the methodology by which the project's quality management will be sustained and successes or failures may be measured. Financial inputs are variable while YEMAC continually strives to increase the number of personnel active in mine action and the skills and knowledge base. The activities involved include the training of personnel, releasing land through survey and explosive ordnance removal, victim rehabilitation support and risk education and are measured quantitatively. Project outputs of new skills, safe land released and numbers of UXO removed, direct and indirect beneficiaries, direct victims supported and knowledge of safe behaviour are also quantitative and easily measurable.

Outcomes and what difference the project makes are qualitative measurements. The outcomes fall into three categories.

- **Immediate outcomes:** better planning by trained personnel; productive land in use; lives improved; safer practices with fewer accidents and lowered stress. These are YEMAC and other partners' behavioural changes resulting from the outputs.
- **Medium-term outcomes:** new and effective strategies and plans adopted by the government; food and economic activity revitalised; better social integration; wider adoption of safe practices and an improved quality of life. These are behavioural changes influenced by YEMAC and their immediate outcomes.
- **Society-level impact:** more clearance is conducted reaching a greater portion of the population; health, wealth and wellbeing of communities is improved; greater compliance with political commitments to the APMBC (and potentially the CCM). These impacts are the society level changes the project seeks to achieve.

Outcomes are by definition longer-term and qualitatively measured, hence not immediately apparent following the implementation of the activities.

Activities	Output Indicators	Outcome Indicators	Impact
<ul style="list-style-type: none"> <li>• Land release (survey and clearance)</li> <li>• Information management</li> </ul>	<ul style="list-style-type: none"> <li>• Square metres of safe land released to the community</li> <li>• Better information</li> </ul>	<ul style="list-style-type: none"> <li>• Land in productive use and economic value</li> <li>• Planning and prioritisation improved</li> </ul>	<ul style="list-style-type: none"> <li>• Economic</li> <li>• Political</li> <li>• APMBC obligations (and potentially the CCM)</li> <li>• Health</li> </ul>
<ul style="list-style-type: none"> <li>• Explosive Ordnance Disposal</li> </ul>	<ul style="list-style-type: none"> <li>• ERW destroyed</li> </ul>	<ul style="list-style-type: none"> <li>• Injuries reduced</li> <li>• Stress reduced</li> </ul>	<ul style="list-style-type: none"> <li>• Health and wellbeing</li> </ul>
<ul style="list-style-type: none"> <li>• Mine Risk Education</li> </ul>	<ul style="list-style-type: none"> <li>• Number of people receiving education</li> </ul>	<ul style="list-style-type: none"> <li>• Injuries averted</li> <li>• Stress reduced</li> </ul>	<ul style="list-style-type: none"> <li>• Health</li> <li>• Economic</li> <li>• Political</li> <li>• APMBC (CCM)</li> </ul>
<ul style="list-style-type: none"> <li>• Victim rehabilitation</li> </ul>	<ul style="list-style-type: none"> <li>• Number of people receiving assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Stress reduced</li> <li>• Societal integration</li> </ul>	<ul style="list-style-type: none"> <li>• Economic</li> <li>• Health</li> <li>• Wellbeing</li> </ul>

Table 1. In sequence reading from left to right in the table, the above assumptions are made in the Theory of Change and the table exemplifies the complexities of collecting data for mine action indicators. Causal links from activities through to the desired impact are not necessarily direct and require external inputs and co-ordination.

The project's Theory of Change flow chart is given as Annex 6 to this document.

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### III. RESULTS AND PARTNERSHIPS (1.5 - 5 PAGES RECOMMENDED)

#### ***Expected Results***

UNDP working through NMAC/YEMAC has identified four main outputs towards which all activities will contribute:

**1) Mine and UXO contamination is mapped and impact assessed nationwide using primary and secondary resources.**

Currently available mine action data is outdated (the latest is from the end of 2014) and insufficient to co-ordinate and plan efficient and effective mine action interventions according to the impact and national priorities. UNDP support will co-ordinate and lead organisations to establish a remote system of collecting information, collate available data into a useable format, publish findings and update online sources as new information becomes available and deploy teams to conduct technical and non-technical surveys to accurately define the heat map findings and update IMSMA (Information Management System for Mine Action). UNDP will also endeavour to ensure required training and equipment is provided, and that new mine action interventions are prepared based on findings. A threat map will be produced and disseminated, as well as an updated mine action work plan.

**2) Mines and UXO are cleared in identified priority areas.**

Current clearance assets and technical capacities in Yemen are insufficient to address the impact that mine/UXO contamination has on the unfolding humanitarian crisis and are inadequate to meet the national obligations of the APMBC. Throughout the field activities, YEMAC will be geographically organised according to the assessed mine/ERW contamination impact, and equipped, reaching operational standards according to the International Mine Action Standards (IMAS) and national standards. Technical and non-technical surveys will be completed and mine and UXO clearance conducted addressing the impact of ERW and obligations to APMBC.

**3) The awareness of threats posed by mines and UXO is increased in affected communities.**

Awareness of the unfolding threat posed by mines/UXO is insufficient amongst resident population and IDPs, while it is essential for prevention of mine and UXO related incidents and can mitigate to a degree the impact on society. Mine risk education provided in affected communities effectively reduces the number of mine casualties. By disseminating targeted appropriate messages, knowledge and understanding of the proper attitudes and practices is improved. Technical assistance, equipment and materials will be provided under this activity.

**4) Survivors of ERW incidents are effectively supported and rehabilitated socio-economically.**

Equitable access to medical and rehabilitation services is inadequate at present to meet the evolving burden on national resources. The activity will support survivors to obtain emergency care, rehabilitation support and vocational training. Activities include: the assessment, identification and selection of implementing partners, as well as mobilisation of new implementing partners; survey of survivors; medical examination; provision of surgical, medical and prosthetic and other equipment and materials; and rehabilitation and vocational training for survivors, including women (to also be incorporated into other forms of livelihood support, where appropriate).

In achieving these outputs, the project expects to contribute to a wider development change which results in enabling, countrywide, Yemeni households and communities to effectively cope with the impact of the crisis and to (re)build their resilience. At the same time, the project will strengthen confidence in and preserve and build the institutional capacities of NMAC, YEMAC and third parties to deliver essential services to citizens.

#### ***Resources Required to Achieve the Expected Results***



Fully mobilised, YEMAC's operational cost for one year is \$15-16 million, of which the national contributions in the past were around \$3-4 million. The nationally-funded component during 2015 and 2016 was not received, and under the present state of affairs such contribution are not likely to happen during the life span of the project. The US, Japan and UNOCHA have been longstanding donors to the sector in Yemen and more recently, UK and the Netherlands have also become donors. Current or pipeline funding for the project in 2017 is around \$6 million. UNDP will work closely with NMAC/YEMAC to continue and if possible increase resource mobilisation. The aim is to increase YEMAC operational assets and the target is a minimum of \$15M of funding to be available per annum including running costs and investment to expand operational capacity. In addition, UNDP will ensure dedicated management capacity in the Country Office to provide the required oversight and quality assurance.

### ***Partnerships***

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

Yemen is a signatory state to the APMBC (Anti-Personnel Mine Ban Convention) since entering into force in March 1999 and enacted legislation in April 2005. Yemen is neither party to the 2008 CCM (Convention on Cluster Munitions) nor the 1980 CCW (Convention on Conventional Weapons).

The National Mine Action Committee (NMAC) and the Yemen Executive Mine Action Centre (YEMAC) are state institutions fragmented by the war in 2015 to implement and co-ordinate the five pillars of mine action. The NMAC is concerned with advocacy, policy, APMBC obligations, political facilitation and priority setting. YEMAC as the executive institution, conducts and co-ordinates risk education, victim assistance, survey and clearance operations. YEMAC currently have the preserve for clearance and survey operations throughout the country.

A consortium of national and international NGOs conduct risk education and victim assistance that are co-ordinated by YEMAC and YEMAC itself implements elements the national victim's rehabilitation programme.

UNDP has contributed considerably to a large spectrum of NMAC/YEMAC activities and development. During 2015 there was a lull in YEMAC activities due to the conflict, general security situation and lack of access to the most contaminated and impacted areas. UNDP funding support during 2015 and 2016 allowed YEMAC to maintain basic functions and limited field operations. While the conditions were not optimal to conduct survey and clearance, a number of pilot projects were commenced: re-establishment of the YEMAC detection dog capacity, limited deployment of clearance teams in Aden, Sana'a, Amran and the continuation of victim assistance and risk education projects. Critically during this period, YEMAC was able to continue its function as a co-ordination centre and maintenance of their core-functions. By maintaining YEMAC at a reduced level, as the security situation stabilised in parts of the country, so operations were able to be expanded. Early 2016, operations were extended to include: Abyan, Aden, Amran, Hajjah, Sa'ada, Sana'a and Taizz governorates. The listed governorates present the highest priorities for immediate YEMAC intervention and are where the teams will continue to be deployed. While the fighting has not stopped and the security situation is poor, the fighting has somewhat stabilised and is more predictable in many areas.

In addition, UNDP is working with NMAC/YEMAC to introduce and facilitate international mine action orientated NGOs to assist Yemen and bring their own relative advantages. UNDP's approach ensures the continuity of NMAC/YEMAC as national institutions effecting mine action and further develops the concept of national ownership in addressing the needs.

### ***Risks and Assumptions***

**Financial/fiduciary risks:** The financial and fiduciary risks are defined by a number of factors, including shortage of donor funding, high-inflation, fraud, and cash management. UNDP will work closely with NMAC/YEMAC to continue and if possible increase resource mobilisation, and approach new donors in order to diversify its funding sources. UNDP's anti-fraud policy, the audits, regular spot-checking by UNDP staff, and the Third Party Monitoring Agent are oversight measures over and above the existing internal



procedures, which will be used 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.

**Programmatic risks:** The programmatic risks are associated with access and targeting due to security or conflict-related obstacles, although mitigated by the widespread network of YEMAC. 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 the recruitment of two UNDP national project coordinators (in Sa'ada and Aden). In addition, UNDP will review the results of the HACT capacity assessment of the responsible party to ensure they have the requisite capacity to deliver the project results. UNDP will closely monitor and review the expenditure reports quarterly, or more frequently as required, to ensure financial compliance of the project.

**Security risks:** The ongoing protracted conflict continues to pose significant security risks to the implementation of the project in the form of 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.

**Reputational risks:** In view of the scale and importance, the project also carries a reputational risk for UNDP as well as NMAC and YEMAC. 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 NMAC and YEMAC. Grievances from beneficiaries and stakeholders will be channelled through the mechanisms established.

Full list is given in the risk log in Annex 3 to this document.

### ***Stakeholder Engagement***

During the life of the Project, with the assistance of UNDP, YEMAC and other partners will target to survey all areas identified as contaminated, clear an area of over 30 million square meters, clear 1.1 million of different types of mines and UXO, destroy over 1.1 million of the same. The mine risk education activities of YEMAC and other partners will aim to reach over 12.5 million people and directly assist all those in need with various aid. The estimated total of survivors screened is 15 thousand of whom an estimated six thousand will be medically examined and direct assistance provided to all in need. The total estimated number of direct and indirect beneficiaries of all of the aforementioned activities is around 15 million throughout the country.

The Project will be implemented across Yemen where the security situation allows the responsible parties and the third party monitoring agent to operate. The southern governorates, currently administered and co-ordinated from YEMAC Aden branch will be supported through technical assistance and capacity support for clearance, risk education, information management and victim assistance. The middle and north of the country will be supported by mobilising existing resources and administered and co-ordinated through the central YEMAC office in Sana'a. Having identified the regional autonomy or semi-autonomous governance of the governorates, UNDP will adopt a regional approach – local solutions to local problems.

The selection of geographical areas will take into consideration population density, contamination density, concentration of IDPs, and impact of the conflict to community infrastructures. Higher weight will be given to communities where the overlap between population and contamination densities are highest, as well as those with higher concentration of IDPs. Currently, it is estimated that between 60-70 percent of Yemen's

333 districts are accessible. A flexible approach is required according to the security situation and peace negotiations. Accessibility of governorates and sub-districts combined with priorities of work will dictate operational interventions. Continued fighting may limit field operations in certain areas but there are endless priorities of work in other areas. It is the flexible approach to geographic deployment that will prevent teams being idle as the security situation unfolds. A widening of the conflict may not halt field operations but would almost certainly affect the prioritisation of work and could mean lower priority clearance and survey being conducted.

During implementation it is important to ensure that all sectors of the community, whichever gender, age group, ethnicity, tribal attachment, minority or vulnerable grouping are included and have their needs included based on the priorities. Inclusivity is addressed during the planning phase and based on surveys, whether from primary or secondary sources.

Victims of the conflict (whether physical, mental or through association) are deemed a particularly vulnerable group and as such, are prioritised within the programme implementation. Direct basic support is provided to victims by YEMAC through screening, treatment and rehabilitation. As a part of the rehabilitation process, UNDP will promote victim employment within YEMAC and wider, where possible.

### ***Sustainability and Scaling Up***

Both NMAC and YEMAC, or predecessor national organisations, are well-established and credible national institutions that have delivered mine action activities in Yemen for almost three decades. By helping to reactivate their operations, that were suspended or disrupted by the war and all its consequences, this project will contribute to the preservation and sustainability of their implementation capacity of much needed mine and ERW clearance programs. The nationwide coverage of YEMAC will enable scale-up and their potential wide network of non-state partners such as CSOs, NGOs and private sector (e.g. contractors and small and micro enterprises) will also extend the outreach. NMAC and YEMAC have a strong partnership and donor support which will increase as the conflict winds down. This project will act as a catalyst for attracting additional support from interested donors.

**Ownership and Self Reliance:** UNDP will support risk assessments and surveys, increased local capacity for mine and UXO clearance and victim assistance. 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 strive to mobilise and empower a wide network of non-state partners including CBOs, INGOs and NGOs. The requirement for beneficiary communities to contribute to identification of needed activities further contributes to strengthen local ownership.

**Social cohesion & Peace-Building:** The activities conducted by YEMAC, and supported by the Project, will ultimately result in land release, buildings and assets free of mines and UXO, free access to medical and schooling facilities. These actions will provide grounds for income and job opportunities, facilitate transportation and free movement, promote equality and inclusion, in brief, provide safe overall working and living environment. Ultimately, the results of the project activities will support social cohesion and peace building efforts.

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## **IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)**

### ***Cost Efficiency and Effectiveness***

Recognising robust contamination survey methodologies require minimal input with maximum output, emphasis will be placed on survey in the Land Release processes. Clearance operations, while an essential component of Land Release, require maximum input with minimal output and should only be employed where hazardous contamination is confirmed. Initially, full clearance will be targeted against high-threat, high-impact tasks more commonly referred to as 'spot-tasks' as opposed to systematic clearance of large areas which often prove to have lower impact and effectiveness. Lower priorities will be noted during the emergency phase and incorporated within future clearance plans when the priority allows. Additionally,

lower priority tasks should be included within local risk education activities to reduce the risk and impact on society. With limited resources, direct victims will be screened and prioritised for assistance and rehabilitation. Third-party agencies may be employed to accelerate the process.

Ideally, the whole population of Yemen should be exposed to basic awareness education of the risk associated with mines and other ERW. More intense education activities will be conducted in areas of high-priority, specifically areas with high levels of contamination and higher population densities. Vulnerable groups, particularly those at higher risk such as IDP, will be included within the education projects.

### ***Project Management***

The main Project activities will be conducted from the UNDP CO in Sana'a, with the two field coordinators operating from Aden and Sa'ada.

### ***Project Management Team***

The main roles and responsibilities of UNDP's proposed core implementation team members are set out below.

**International Chief Technical Advisor (CTA).** The Chief Technical Advisor (Mine Action) will be responsible for providing high level and continuous technical advice to the NMAC in relation to UNDP's support to mine action, and in particular to advise on the development and maintenance of a credible mine action concept of operations and mine action plan, prepared under the guidance of the Chairman, NMAC, and in cooperation with UN agencies, local authorities and other relevant partners, and develop approaches to bring forward the national mine action strategy. The CTA oversees the deployment of YEMAC teams, making sure that this support is coordinated and integrated with the components of UNDP's early recovery and resilience programming in line with UNDP's global strategy 2014-2017. The CTA will also be responsible for assisting in the preparation of work plans in conjunction with all national counterparts, to coordinate reporting against these work plans and tracking the project's critical path, providing substantive support to the organisation of all Project Activities, including management of YEMAC operations and coordination with national and international NGOs within the broader framework of the mine action programme, liaising with all counterparts, preparing and contributing to an ongoing program formulation exercise, intensive human resources development implementation, monitoring Project activities and reporting to UNDP's management on progress and results achieved by the Project activities.

**Planning and Monitoring Specialist (international).** The Project Planning and Reporting Officer shall be responsible for providing continuous and timely support to the CTA ensuring internal and external planning and reporting requirements are met. Including; financial monitoring, project quality management and monitoring of complete project cycles to proactively flag issues that will impact the project's outputs/activities and conduct remedial actions. The PaMS will be responsible for assisting the CTA in the preparation of work plans in conjunction with national counterparts, to co-ordinate reporting against these work plans and tracking the project's critical path, providing substantive support to the UNDP Country Office of all project activities. The PaMS will encourage efficiency within the project, streamlining activities to ensure delivery from both UNDP CO and national counterparts.

**Project Coordinators.** Under the direct supervision of the UNDP CTA, the project coordinators will be responsible for the timely and cost-effective implementation of the activities in their area of responsibility. They will support the CTA and Project team in engaging with national counterparts and other national stakeholders, as appropriate.

Different staff of the Country Office will also provide support to the implementation of the Project as needs are identified.

### **UNDP Country Office oversight and quality assurance**

The UNDP Country Office (CO) will provide overall oversight and quality assurance over the Project Management Team and through higher-level relationships with respective Yemeni counterparts. The UNDP CO will ensure coordination within its operational units to enable smooth and speedy financial and

operational services to the project. The UNDP senior management will maintain regular institutional level coordination with the Donors, Government of Yemen and other international partners to foster an enabling environment for the project. They will also coordinate with UNDP HQ for corporate level support to the project. Different staff of the Country Office will also provide support to the implementation of the Project as needs are identified.

## **UNDP Headquarters**

UNDP HQ will provide corporate level management oversight and accountability including management of donor contributions and certification of financial reports, audits, investigations, and the corporate Stakeholder Response Mechanism.

## **Project Monitoring**

The monitoring of project outputs will be undertaken at multiple levels. YEMAC has internal mechanisms that will provide the first line of monitoring. UNDP will carry out regular monitoring through review of mandatory quarterly reports for quality assurance and verifications. As part of the risk mitigation measures, UNDP will contract a Third Party Monitoring Agent for the sole purposes of monitoring the implementation of the project. The Third Party Monitoring Agent will be 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.

The Third Party Monitoring Agent will be expected to: 1) track performance through the collection of appropriate and credible data and other evidence; 2) analyse evidence to inform project management and UNDP decision-making; and 3) report on performance and lessons to facilitate better support to counterparts. The details of the Monitoring and Evaluation are captured in section VI of the project document.

## **Project Audit arrangements**

The Project will be audited in accordance with UNDP policy, including the UN Harmonised Approach to Cash Transfers policy.

In view of the selected implementation modality, namely the Direct Implementation Modality (DIM), UNDP's Office of Audit and Investigation (OAI) may decide, based on standard set of criteria, to carry out an audit in accordance with the standard TOR of DIM audits. In this case, UNDP will procure an independent audit firm to conduct an audit in accordance with International Standards of Auditing. The purpose of the audit will be to determine the regularity of the receipt, custody, expenditure, and accounting for UNDP resources and assess the overall operational and internal control system for management of the project.

## **Harmonised Approach to Cash Transfers (HACT)**

The UN HACT framework represents a common operational (harmonised) framework for transferring cash to government and non-governmental implementing partners, irrespective of whether these partners work with one or multiple United Nations agencies. The objective of the HACT framework is to support a closer alignment of development aid with national priorities and to strengthen national capacities for management and accountability, with the ultimate objective of gradually shifting to national systems. It is understood that 'harmonised' in the context of the HACT framework refers to agencies implementing a common operational framework using the same, consistent, standardised approach and tools.

The HACT framework represents a shift from assurance for cash transfers derived from project level controls and audits towards a method of assurance derived from risk/system-based assessments and audits.

Capacity development is a central part of the HACT vision and is a core component of managing risk, rather than just assessing it. Identification of capacity gaps in implementing partners (or Responsible Party in this case) and plans to address them must be an element of implementation. To this end, UNDP will commission a capacity assessment of YEMAC with a view to determine the risk rating as well as any capacity gaps. The assigned risk rating (low, moderate, significant or high) and identified capacity gaps will determine the appropriate type and frequency of UNDP's assurance activities.

## V. RESULTS FRAMEWORK<sup>2</sup>

<b>Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:</b>								
(UNDAF Outcome) <b>Outcome 2:</b> Local authorities and communities effectively engaged in sustainable management of natural resources biodiversity conservation, adaptation to climate change and disaster risk reduction by 2015.								
<b>Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:</b>								
UNDAF: 2.1. Proportion of mine polluted areas cleared								
<b>Applicable Output(s) from the UNDP Strategic Plan (Global): Outcome 5:</b> Countries are able to reduce the likelihood of conflict, and lower the risk of natural disasters, including from climate change; <b>Output 5.4.</b> Preparedness systems in place to effectively address the consequences of and response to natural hazards (e.g. geo-physical and climate related) and man-made crisis at all levels of government and community								
<b>Project title and Atlas Project Number:</b> Emergency Mine Action								
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	
<b>Output 1</b> Mine and UXO contamination is mapped and impact assessed using primary and secondary sources GEN 2	1.1 Desk, technical and non-technical survey processes completed	YEMAC / HI	0	2016	1	1	1	YEMAC and field coordinators reports
	1.2 Impact assessments completed	YEMAC	0	2016	9	9	9	YEMAC field coordinators reports. Reports from other stakeholders if available.
	1.2 Timely production and dissemination of accurate contamination maps to stakeholders	YEMAC	0	2016	4	4	4	YEMAC field coordinators reports. Reports from other stakeholders if available
<b>Output 2</b> Mines and UXO are cleared in identified priority areas GEN 2	2.1 Surface of land cleared through field clearance operations conducted according to national standards (both manual and dog detection teams).	YEMAC	3 km <sup>2</sup>	2016	5 km <sup>2</sup>	10 km <sup>2</sup>	15 km <sup>2</sup>	YEMAC and field coordinators reports
	2.2 Number of mines and UXO cleared according to national standards.	YEMAC	262,810	2016	300,000	500,000	300,000	YEMAC and field coordinators reports

	2.3 Number of mines and UXO destroyed according to national standards	YEMAC	180,414	2016	300,000	500,000	300,000	YEMAC and field coordinators reports
<b>Output 3</b> The awareness of the threat posed by mines and UXO is increased in affected communities GEN 2	3.1 Mine Risk Education events completed or coordinated by YEMAC	YEMAC	7,000	2016	10,000	10,000	10,000	YEMAC field coordinators reports. Reports from other stakeholders
	3.2 Number of people covered by MRE	YEMAC	350,000	2016	2.5 million	5 million	5 million	YEMAC field coordinators reports. Reports from other stakeholders
	3.3 Mine Risk Education events completed in all Governorates covered by Project activities	YEMAC	10	2016	10	22	22	YEMAC field coordinators reports. Reports from other stakeholders
<b>Output 4</b> Survivors of ERW are more effectively supported and rehabilitated socio-economically GEN 2	4.1 Number of survivors surveyed.	YEMAC	13,440	2016	20,000	20,000	20,000	YEMAC field coordinators reports. Reports from other stakeholders
	4.1 Number of survivors examined.	YEMAC	4,000	2016	5,000	5,000	5,000	YEMAC field coordinators reports. Reports from other stakeholders
	4.1 Number of survivors supported with medical aid.	YEMAC	475	2016	600	600	600	YEMAC field coordinators reports. Reports from other stakeholders



## VI. MONITORING AND EVALUATION

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)
Track results progress	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.	Monthly and quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	YEMAC and UNDP
Monitor and Manage Risk	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 as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	YEMAC and UNDP
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	YEMAC and UNDP
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		UNDP
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialise project results and lessons learned with relevant audiences.	Six months	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	Project Board

### Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Evaluation				End-2018	Government of Yemen, NMAC, YEMAC, UNDP, Donors	US\$ 50,000 Project Budget
Final Evaluation				End-2020	Government of Yemen, NMAC, YEMAC, UNDP, Donors	US\$ 50,000 Project Budget

## VII. MULTI-YEAR WORK PLAN <sup>34</sup> - ATTACHED TO THIS DOCUMENT IN EXCEL FILE

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3			Funding Source	Budget Description	Amount
<b>Output 1</b> Mine and UXO contamination is mapped and impact assessed using primary and secondary sources	1.1 Activity								
	1.2								
	1.3								
	<b>Sub-Total for Output 1</b>								
<b>Output 2</b> Mines and UXO are cleared in identified priority areas	2.1								
	2.2								
	2.3 Activity								
	<b>Sub-Total for Output 2</b>								
<b>Output 3</b> The awareness of the threat posed by mines and UXO is increased in affected communities	3.1								
	3.2								
	3.3								
	<b>Sub-Total for Output 3</b>								
<b>Output 4</b> Survivors of ERW are more effectively supported and rehabilitated socio-economically	4.1								
	4.2								
	4.3								
	<b>Sub-Total for Output 4</b>								

<sup>3</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>4</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

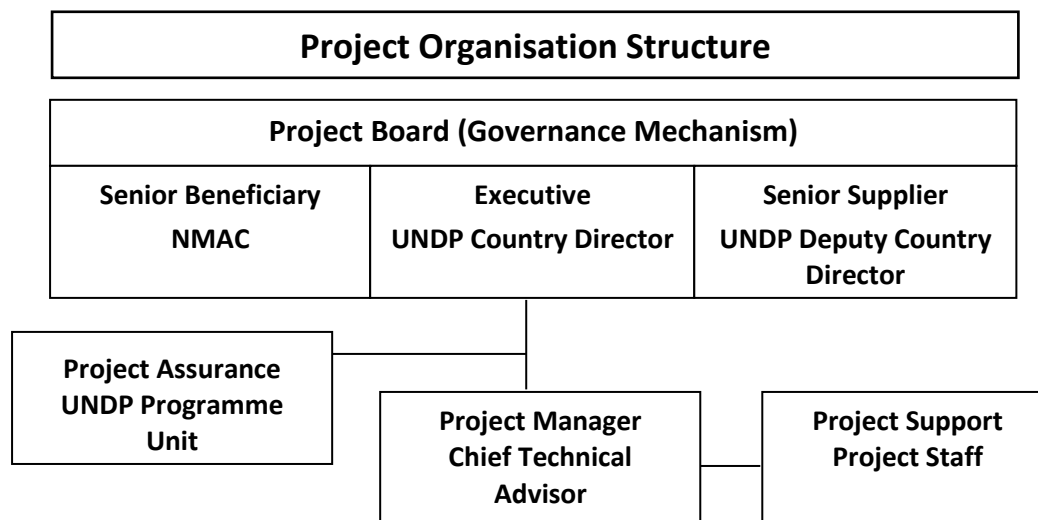


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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

### Project Board

UNDP will establish the Project Board as oversight and advisory authority, representing the highest body for coordination, strategic guidance, oversight and quality assurance. The Project Board is the group responsible for making - on a consensus basis - management decisions for the project when guidance is required/solicited by the day-to-day manager of the project, the Chief Technical Advisor/Project Manager, including recommendations for approval of project revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Resident Representative or Country Director in line with DIM modalities. The main function of the Project Board is to provide quality assurance and strategic guidance to the project.



### Composition and organisation:

1. **Executive:** chairs the group and is ultimately responsible for the project. He/she has to ensure that the project remains focused on achieving its objectives and is cost effective. In cases of direct implementation this is UNDP by default.
2. **Senior Beneficiary(s):** represent the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realisation of project results from the perspective of project beneficiaries. the Senior Beneficiary role is held by a representative of the National Mine Action Commission.
3. **Senior Supplier(s):** represent the interests of the parties providing funding and/or technical expertise to the project. Their primary function within the Board is to provide guidance regarding the technical feasibility of the project. They are accountable for the quality of the resources (funding or technical assistance) provided by the suppliers. Therefore, they must have the authority to commit or acquire the resources required. The Senior Supplier role is held by one or several representative(s) of donors.

Representatives of other stakeholders can be included in the Board as appropriate.

UNDP will be in charge of day-to-day project monitoring to ensure achievement of results. Independent project evaluations are addressed in Section 6 (Monitoring Framework and Evaluation) and individual contribution agreements. UNDP is also responsible for the recruitment of project staff and the procurement of equipment in accordance with the project work plan and budget.

In addition to his/her functions as a member of the Project Board, the representative of NMAC, serves as the main focal point for any implementation issues arising from the project as it relates to activities implemented, interacting on a regular basis with the Chief Technical Advisor/Project Manager and the members of the UNDP Team.

The Project Board will meet at least twice a year to review and approve the regular project reports. It can also meet at any other time if a meeting is requested by one of its members, the Project Manager or the Project Assurance because guidance is required, tolerances have been exceeded, or a particular issue or risk requires the intervention of the Project Board.

A comprehensive Terms of Reference of the Project Board is attached as Annex 5.

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## **IX. LEGAL CONTEXT AND RISK MANAGEMENT**

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.
3. 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 (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (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.

### **UNDP anti-fraud policy**

The Parties involved in implementing the activities as per this Project Document have a general accountability for fiduciary management of funds put at their disposal by UNDP. In this regard, the Parties 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 Parties 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 Parties 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.

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).

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**X. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template** [\[English\]](#)[\[French\]](#)[\[Spanish\]](#), including additional Social and Environmental Assessments or Management Plans as relevant.
- 3. Risk Analysis.** Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions
- 4. Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment) NOTE: To be completed as per agreed timeline and to become an integral part of the ProDoc upon completion.
- 5. Project Board Terms of Reference and TORs of key management positions**
- 6. Project Theory of Change flow chart**



## ANNEX 5: PROJECT BOARD TERMS OF REFERENCE AND TORs OF KEY MANAGEMENT POSITIONS

### Project Board

The Project Board is the group responsible for making - on a consensus basis - management decisions for the project when guidance is required/solicited by the day-to-day manager of the project, the Chief Technical Advisor/Project Manager, including recommendations for approval of project revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Resident Representative or Country Director in line with DIM modalities. The main function of the Project Board is to provide quality assurance and strategic guidance to the project.

A Project Board will be established for this Project, to ensure strategic direction and oversee the implementation of the project. The Project Board will be chaired by UNDP and composed of NMAC, contributing donors and other governmental institutions directly concerned by the implementation of the project.

### Composition and organisation:

1. Executive: chairs the group and is ultimately responsible for the project. He/she has to ensure that the project remains focused on achieving its objectives and is cost effective. In cases of direct implementation this is UNDP by default.
2. Senior Beneficiary(s): represent the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realisation of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the national mine action commission.
3. Senior Supplier(s): represent the interests of the parties providing funding and/or technical expertise to the project. Their primary function within the Board is to provide guidance regarding the technical feasibility of the project. They are accountable for the quality of the resources (funding or technical assistance) provided by the suppliers. Therefore, they must have the authority to commit or acquire the resources required. The Senior Supplier role is held by one or several representative(s) of donors.

Representative of other stakeholders can be included in the Board as appropriate.

UNDP will be in charge of day-to-day project monitoring to ensure achievement of results. Independent project evaluations and audits are addressed in Section 4 (Monitoring Framework and Evaluation) and individual contribution agreements. UNDP is also responsible for the recruitment of project staff and the procurement of equipment in accordance with the project work plan and budget.

In addition to his/her functions as a member of the Project Board, the representative of NMAC, serves as the main focal point for any implementation issues arising from the project as it relates to activities implemented, interacting on a regular basis with the Chief Technical Advisor/Project Manager and the members of the UNDP Team.

### Overall responsibilities<sup>5</sup>

The Project Board is the group responsible for making by consensus<sup>6</sup> management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing

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<sup>5</sup> Source: Guidelines on UNDP Implementation of UNDAF Annual Review Process

<sup>6</sup> Decisions by consensus are essential to reflect the dual accountability of the Government and UNDP in accordance with applicable regulations, rules, policies and procedures.

Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards<sup>7</sup> that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Resident Representative or his/her designate. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. The Project Manager to seek guidance and decisions from the Project Board when PM tolerances (normally in terms of time and budget) are exceeded.

The Project Board reviews and approves the annual work plans (AWP) and authorises any major deviation from these plans. It ensures that the required resources are available, arbitrates on any conflicts within the project and negotiates a solution to any problems between the project and external bodies.

Based on the approved annual work plan (AWP), the Project Board may review and approve project quarterly plans when required and authorises any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorises the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. The Project Board may address the technical details of activities that face difficulties with implementation.

### **Specific responsibilities:**

#### When the project is initiated

- Agree on the Project Manager's responsibilities, as well as the responsibilities of the other members of the Project team;
- Delegate any Project Assurance function as appropriate;
- Review and appraise detailed Project Plans and AWP, including the risk log and the monitoring and communication plan. During the implementation of the project
- Provide overall guidance and direction to the project;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible management actions to address specific risks;
- Agree on Project Manager's tolerances within the AWP;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions.

#### When the project is being closed

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;

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<sup>7</sup> UNDP Financial Rules and Regulations: Chapter E, Regulation 16. 05: a) The administration by executing entities or, under the harmonised operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonised operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition that of UNDP shall apply.

- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation if it is required;
- Notify operational completion of the project to the Outcome Board.

**The Project Board meets:**

- On a quarterly basis to review and approve the regular project reports.
- At any other time a meeting is requested by one of its members, the Project Manager or the Project Assurance because guidance is required, tolerances have been exceeded, or a particular issue or risk requires the intervention of the Project Board.

**Executive**

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

**Specific Responsibilities** (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief relevant stakeholders about project progress
- Organise and chair Project Board meetings

**Senior Beneficiary**

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role should not be split between too many people.

**Specific Responsibilities** (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous

- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

### **Senior Supplier**

The Senior Supplier represents the interests of the parties, which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role.

### **Specific Responsibilities** (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project.

### **Project Assurance:**

The project assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager.

### **Specific responsibilities of the assurance function:**

#### **During the implementation of the project**

- Ensure that funds are made available to the project;
- Ensure that project outputs definitions and activity definition including description and quality criteria have been properly recorded in the Atlas Project Management module to facilitate monitoring and reporting;
- Ensure that risks and issues are properly managed, and that the logs in Atlas are regularly updated;
- Ensure that critical project information is monitored and updated in Atlas, using the Activity

### Quality log in particular;

- Ensure that Project Quarterly Progress Reports are prepared and submitted on time, and according to standards in terms of format and content quality;
- Ensure that CDRs and FACE are prepared and submitted to the Project Board and Outcome Board;
- Perform oversight activities, such as periodic monitoring visits and “spot checks”.
- Ensure that the Project Data Quality Dashboard remains “green”

### When the project is being closed

- Ensure that the project is operationally closed in Atlas;
- Ensure that all financial transactions are in Atlas based on final accounting of expenditures;
- Ensure that project accounts are closed and status set in Atlas accordingly.

### **Project Manager**

**Overall responsibilities:** The UNDP Chief Technical Advisor/Project Manager will provide coordination and management of the UNDP project. The Chief Technical Advisor /Project Manager will be responsible for implementing the project activities and will be accountable to the Project Board and UNDP. S/he will also be responsible for preparing a detailed project work plan and indicative budget, reporting on the day-to-day activities and progress of the project, and submitting progress and financial reports. The Project Manager’s prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

### **Specific responsibilities include:**

#### *Overall project management:*

- Manage the realisation of project outputs through activities;
- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board or its appointed Project Assurance roles to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Liaise with any suppliers;
- May also perform Team Manager and Project Support roles.

#### *Running a project*

- Plan the activities of the project and monitor progress against the initial quality criteria.
- Mobilise goods and services to initiative activities, including drafting terms of reference and work specifications;
- Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments;
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports;

- Manage and monitor the project risks as initially identified in the Project Brief appraised by the LPAC, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log.
- Prepare the Project Quarterly Progress Report (progress against planned activities, update on Risks and Issues, expenditures) and submit the report to the Project Board and Project Assurance;
- Prepare the Annual review Report, and submit the report to the Project Board and the Outcome Board;
- Based on the review, prepare the AWP for the following year, as well as Quarterly Plans if required.

#### *Closing a Project*

- Prepare Final Project Review Reports to be submitted to the Project Board and the Outcome Board;
- Identify follow-on actions and submit them for consideration to the Project Board;
- Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;
- Prepare final CDR for signature by UNDP and the Implementing Partner.

#### **Project Support**

The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

#### **Specific responsibilities include:**

##### *Provision of administrative services:*

- Set up and maintain project files
- Collect project related information data
- Update plans
- Administer the quality review process
- Administer Project Board meetings

##### *Project documentation management:*

- Administer project revision control
- Establish document control procedures
- Compile, copy and distribute all project reports

##### *Financial Management, Monitoring and reporting*

- Assist in the financial management tasks under the responsibility of the Project Manager
- Provide support in the use of Atlas for monitoring and reporting

##### *Provision of technical support services*

- Provide technical advices
- Review technical reports

- Monitor technical activities carried out by responsible parties

## **Annex 6: Roles and responsibilities of key stakeholders:**

### **A: National Mine Action Committee (NMAC):**

1. Serves as the regulatory and policy body of the Government of Yemen and defines and determines the scope and thrust of all mine action related interventions in Yemen
2. Serves as a first point of contact for all mine action initiatives in Yemen
3. Oversees the implementation of the obligations of Yemen under the Ottawa Mine Ban Convention to which Yemen is a party and other mine action related obligations
4. Approves structures and systems of the NMAC/YEMAC, Regional Mine Action Units and any sub-offices.
5. Approves budget of the NMAC/YEMAC in preparation for its approval by the ministry of finance
6. Oversees the activities of the YEMAC and its regional and sub-units to ensure the implementation of approved mine action policies, strategies, programmes, projects and plans
7. Prepares policies, guidelines and rules and regulations on the utilization of all kinds of resources allocated for mine action in Yemen by the Government of Yemen and other donors
8. Approves/endorsees work-plans, programmes and projects of the YEMAC, UN agencies, national and international NGOs and other operators engaged in mine action in Yemen.
9. Uses its role to assist in the mobilization of resources for mine action in Yemen from national budget and other sources
10. In coordination with UNDP enters into partnership agreements, memorandum of understanding (MOU) with UN agencies, donors and national and international organizations in the field of mine action
11. Authorizes, at its discretion, UN agencies, national and international NGOs and other players to undertake mine action activities/projects in Yemen
12. Seeks assistance from relevant UN agencies, national and international NGOs and other stakeholders/players in undertaking mine action projects/activities in Yemen.
13. Put all necessary measures in place to fulfil its duties and responsibilities
14. Provide all possible assistance to YEMAC to perform its duties and responsibilities

### **B: Yemen Executive Mine Action Centre (YEMAC):**

1. Coordinates and synchronizes the efforts and activities of all the mine action players/operators in Yemen
2. Plans, coordinates, monitors and oversees the implementation of all components of mine action including clearance, EOD, survey, risk education, victims assistance and stockpile destruction
3. Ensures that all mine action initiatives are linked to and undertaken in support of humanitarian needs, early recovery and development initiatives
4. Ensures proper management of the Information Management System for Mine Action (IMSMA)
5. Develops and maintains a system and process for the registration and tracking of mine action operators/players in Yemen
6. Prioritizes, tasks and authorizes all mine action activities undertaken by YEMAC Operations Department and other supporting partners
7. Accredits national and international mine action organizations/operators in accordance with NTSGs and IMAS to undertake mine action projects/activities in Yemen
8. Puts in place necessary measures, structures and systems to ensure adherence and compliance to NTSGs and IMAS of all mine action operations
9. Revises and updates NTSGs according to in-country needs and conditions and new developments



10. Ensures the establishment and proper functioning of a quality management system for all mine action activities
11. Prepares project proposals, reports, briefing packages and other documents to assist in mobilizing funds/resources for mine action
12. Prepares updates, reports, presentations and other documents for NMAC, donors and other stakeholders as and when needed
13. Ensures timely preparation and submission of all donors, Mine Ban Convention and other reports.
14. Ensures all mine action initiatives are aligned with national mine action policies and strategies
15. Works with other humanitarian and development organizations to include mine action in the planning and implementation of their projects
16. Organizes donor and other stakeholders office and field level visits/missions in support of mine action
17. Ensures effective, efficient and transparent utilization of the resources allocated for mine action by the Government of Yemen and other donors

**C: United Nations Development Programme (UNDP):**

1. Assist NMAC/YEMAC in the development and implementation of policies, strategies and plans to ensure their alignment with national recovery and development goals and achievement of corporate goals and objectives of mine action
2. Provide technical assistance to NMAC/YEMAC in the periodical review/development of mine action policies, strategies and legislative frameworks to ensure their alignment with national recovery and development agenda and ensure their continued relevance.
3. Assist the NMAC/YEMAC in ensuring strategic direction of mine action in Yemen
4. Serve on the 'mine action project board' as a senior supplier
5. In partnership with NMAC approves project work plans, key reports projects funded by UNDP or through UNDP
6. Monitor, evaluate and validate deliverable, outputs and outcomes of projects funded by UNDP or through UNDP
7. Provide technical assistance in the form of providing Technical Advisor/Assistance to NMAC/YEMAC to effectively and efficiently discharge its duties and responsibilities
8. Assists the NMAC/YEMAC in the preparation of project proposals, plans, reports and other documents to mobilize resource in support of mine action
9. Assists NMAC/YEMAC in resource mobilization, resource management and donor interface
10. Assist NMAC/YEMAC to link mine action to humanitarian needs, early recovery and development
11. Undertakes project appraisals, capacity assessment and capacity strengthening activities as and when necessary
12. In consultation with NMAC ensure effective, efficient and transparent utilization of the mine action resources to ensure value for money

## Annex [#]. Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure and Toolkit](#) for guidance on how to answer the 6 questions.

### Project Information

Project Information	
1. Project Title	Emergency Mines Action Project
2. Project Number	00099753
3. Location (Global/Region/Country)	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 aims at releasing land back to the rural communities improving access to natural resources and basic social services. The project is expected to deliver social and economic benefits to all people affected by mines and UXOs. Adopting a phased approach, the project will focus on 9 governorates (Abyan, Aden, Hajjah, Sa'ada, Amran, Sana'a, Taizz, Hadramout and Al Jawf) and 47 districts (over a total area of over 2 million m<sup>2</sup>), scaling up to new geographical areas when political and security conditions allow.

The project targets its support to the most vulnerable populations. Important considerations for targeting support included readiness of communities and local institutions for resilience and peace building, acceptance of local powers and political actors for indiscriminate support to the most vulnerable – particularly women and girls – and respect for human rights, security and access to target communities.

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

UNDP and through default its partners, is committed to addressing the gender elements of projects during the planning, implementation and monitoring phases. Inclusivity is addressed during the planning phase and based on surveys, whether from primary or secondary sources. In the planning phase, emphasis is placed on the gender and human rights issues by UNDP ensuring the issues are addressed. The target for clearance, risk education and victim assistance and the decision-making processes, is to reach all segments of society. In addressing gender mainstreaming and gender balance the project ensured that the capabilities, contributions, concerns and needs of women, girls, boys and men are either acknowledged and addressed within the scope of its activities. The project strived to have equal representation of women, girls, boys and men with access to and participation in mine action programmes as beneficiaries, employees and decision-makers. The project incorporated the principles of gender mainstreaming in UN mines action programmes in its activities.

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

Although the primary outcome of the project is not directly linked to environment, it does ensure that there are no adverse impacts on it. Climate change and population growth combined place more pressure on critical resources particularly water and food, exacerbated by conflict. Yemen is very vulnerable and ill-prepared to address these changes. As part of the prioritisation process for survey and clearance, YEMAC will incorporate environmental factors to assist Yemen's development and preparedness in support of environmental projects.




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

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>  <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Questions 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p><b>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)?</b></p>
<p><b>Risk Description</b></p>	<p><b>Impact and Probability (1-5)</b></p>	<p><b>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.</b></p>
<p>Risk 1: Active military hostilities including aerial bombardment direct / indirect impact on project location</p>	<p>I = 4 P = 5</p>	<ul style="list-style-type: none"> <li>- Assess security risk prior to selecting target area</li> <li>- Communicate the GPS coordinates of project activities to de-conflict the area</li> </ul>
<p>Risk 2: Terrorism / terrorist attack given the heavy presence of both ISIS and AQ</p>	<p>I = 4 P = 4</p>	<ul style="list-style-type: none"> <li>- Conduct periodic security assessment of project area</li> <li>- Strictly implement the security measures recommended by UNDSS</li> </ul>
<p>Risk 3: Kidnapping of staff by criminal or terrorist groups</p>	<p>I = 4 P = 3</p>	<ul style="list-style-type: none"> <li>- Disseminate regular security advises on the dynamic</li> <li>- Strictly implement security measures and travel/mission protocol recommended by UNDSS</li> </ul>
<p>Risk 4: Increased crime due to worsening economic situation</p>	<p>I = 3 P = 4</p>	<ul style="list-style-type: none"> <li>- Closely monitor security situation and disseminate advisories</li> <li>- Strictly implement security measures recommended by UNDSS</li> <li>- Use area based approach to incorporate local economic and community security in the target area</li> </ul>

Risk 5: Perception of lack of impartiality from all sides of the conflict	I = 4 P = 4		Greater need for conflict sensitivity mechanisms as scrutinizing the programme activities is needed	<ul style="list-style-type: none"> <li>- Conduct a broad-based consultation prior to project initiation</li> <li>- Ensure equitable intervention in the areas controlled by both parties</li> </ul>
Risk 6: Lack of access to target area and beneficiaries	I = 4 P = 4	High	Could potentially harm operations, hence the need to keep the areas of operations flexible so that existing resources can be directed elsewhere	<ul style="list-style-type: none"> <li>- Incorporate accessibility factor in the selection of target areas</li> <li>- Establish local partnerships with partners based in the target area</li> <li>- Develop remote working arrangements with partners</li> </ul>
Risk 7: Disruption/absence of basic energy supply and communication services in target areas	I = 4 P = 5	Moderate	Existing inability to import essential equipment	<ul style="list-style-type: none"> <li>- Assess availability of essential services in the selection of target area</li> <li>- Equip key essential personnel adequately</li> </ul>
Risk 8: Inability to mobilize project inputs in the form of goods and equipment in the target areas	I = 3 P = 5	Moderate	Existing inability to import essential equipment	<ul style="list-style-type: none"> <li>- Prioritise activities which require minimal capital investment</li> <li>- Focus activities on labor intensive inputs and inputs available on the local market</li> </ul>
Risk 9: Programme outputs are achieved but impact of outcome level is minimal	I = 3 P = 3	Moderate		<ul style="list-style-type: none"> <li>- Design the programme to deliver short term activities with long lasting impact</li> <li>- Conduct periodic programme reviews to ensure continued relevance and contribution to outcome</li> </ul>
Risk 10: Failure to verify progress/result on the ground due to lack of access and security conditions	I = 3 P = 4	Moderate		<ul style="list-style-type: none"> <li>- Engage an independent third party monitoring agent with outreach capacity in the programme area</li> <li>- Develop a remote monitoring mechanism</li> <li>- Establish collaborative monitoring mechanisms involving beneficiaries and stakeholders</li> </ul>
Risk 11: Weak implementing partner's capacity to deliver programme	I = 4 P = 4	Moderate		<ul style="list-style-type: none"> <li>- Conduct capacity assessment of potential partners prior to engagement</li> <li>- Include capacity development component in partnership agreements</li> </ul>
Risk 12: Inability to mobilize resources required to implement programme	I = 5 P = 3	High	No sustainability of project impact regardless of the improved implementation capacity of local counterparts	<ul style="list-style-type: none"> <li>- Design the intervention in a modular approach so activities can be implemented independently and achieve their intended results</li> <li>- Phase the implementation in building block approach so one block can be implemented while resources are being mobilized</li> <li>- Develop clear resources mobilization plan</li> </ul>
Risk 13: Misappropriation of funds by implementing partners	I = 4 P = 3	Moderate		<ul style="list-style-type: none"> <li>- Assess and establish the risk of fraud of every partner prior to engagement</li> </ul>

				<ul style="list-style-type: none"> <li>- Train partners in fund management</li> <li>- Select the appropriate cash transfer modality based on the assessed capacity of implementing partners.</li> <li>- Implement rigorous assurance activities in line with the established risks.</li> </ul>
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
<b>Select one (see <a href="#">SESP</a> for guidance)</b>				
<b>Low Risk</b> <input type="checkbox"/>				
<b>Moderate Risk</b> <input checked="" type="checkbox"/>				
<b>High Risk</b> <input type="checkbox"/>				
<b>Comments</b>				
The future of the project depends on the overall situation in the country and the availability of funding. Evidence shows that there is a long-standing commitment towards the activities supported by the Project on both the local counterparts and donors.				
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
<b>Check all that apply</b>				
<b>Principle 1: Human Rights</b> <input checked="" type="checkbox"/>				
<b>Principle 2: Gender Equality and Women's Empowerment</b> <input checked="" type="checkbox"/>				
<b>1. Biodiversity Conservation and Natural Resource Management</b> <input type="checkbox"/>				
<b>2. Climate Change Mitigation and Adaptation</b> <input type="checkbox"/>				
<b>3. Community Health, Safety and Working Conditions</b> <input checked="" type="checkbox"/>				
<b>4. Cultural Heritage</b> <input type="checkbox"/>				
<b>5. Displacement and Resettlement</b> <input checked="" type="checkbox"/>				
<b>6. Indigenous Peoples</b> <input type="checkbox"/>				
<b>7. Pollution Prevention and Resource Efficiency</b> <input checked="" type="checkbox"/>				
<b>Comments</b>				

## Final Sign Off

Signature	Date	Description
 QA Assessor	13/6/2017	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
 QA Approver	13/6/2017	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
 PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.



SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		<b>Answer (Yes/No)</b>
<b>Principles 1: Human Rights</b>		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>1</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below</b>		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

<sup>1</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>2</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No

<sup>2</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). (The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.)



3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project 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)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>3</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No

<sup>3</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	N/A
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

