

United Nations Development Programme (UNDP) in partnership with the Social Fund for Development (SFD) and the Public Works Project (PWP)
and
United Nations Children’s Fund (UNICEF) in partnership with the Social Fund for Development (SFD)

Yemen Social Protection Enhancement and COVID-19 Response Project (ESPECRP) (P173582)

Stakeholder Engagement Plan

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ESPECRP Stakeholder Engagement Plan (SEP)

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Acronyms

COVID-19	Corona Virus Disease 19
CT	Cash Transfer
ECRP	Emergency Crisis Response Project
ESPECRP	Emergency Social Protection Enhancement and COVID-19 Response Project
ESS	Environmental and Social Standard
FAQ	Frequently Asked Questions
FGD	Focus Group Discussion
GBV	Gender Based Violence
GRM	Grievance and Redressal Mechanism
IDP	Internally Displaced Person
KII	Key Informant Interview
PME	Planning Monitoring and Evaluation
PMU	Project Management Unit
PSEA	Protection against Sexual Exploitation and Abuse
PWP	Public Works Project
SCAMCHA	National Authority for the Management and Coordination of Humanitarian Affairs and Disaster Recovery
SFD	Social Fund for Development
SOPs	Standard Operating Procedures
SPECRP	Social Protection Enhancement and COVID-19 Response Project
SWF	Social Welfare Fund
TPM	Third Party Monitoring
UASC	Unaccompanied or Separated Children
UN	United Nations
UNDP	United Nations Development Program
UNESCO	United Nations Education, Science and Cultural Organization
UNFPA	United Nations Fund for Population Activities
UNICEF	United Nations Children's Fund
UNWOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
WFP	World Food Programme
WG	Working Group

Introduction/Project Description

The Emergency Social Protection Enhancement and COVID-19 Response Project (ESPECRP) builds on the ongoing IDA financed Emergency Crisis Response Project (ECRP) to deliver support to vulnerable Yemenis affected by conflict, COVID-19 and climate-related shocks. The project development object is to provide cash transfers, temporary employment, and increased access to basic services and economic opportunities to vulnerable populations affected by COVID-19 and the ongoing conflict.

The Project will mainly target food insecure households and focus on interventions that are most effective at addressing food insecurity. Given the short-term food security needs, most of the Project funds are expected to be used to provide cash transfers (CTs) to vulnerable households. This includes unconditional cash transfers to Social Welfare Fund (SWF) beneficiaries as well as cash for nutrition as top ups and complementary services for SWF families that are most at risk of malnutrition. For vulnerable people that are able to work, the Project will continue to engage with communities to provide temporary employment opportunities to build valuable community assets, prioritizing community projects that contribute to food security, climate resilience and anchoring gender sensitive interventions. And in an effort to address food insecurity more sustainably, the Project will continue to provide economic opportunities to vulnerable populations through support to Small and Micro Enterprises (SMEs), with an emphasis on food market resilience and market-based mechanisms. Similar to the ECRP, Project interventions will include COVID-19-sensitive measures.

The ESPECRP will be implemented jointly by the United Nations Development Program (UNDP) and the United Nations Children's Fund (UNICEF) in partnership with two national implementing partners – the Social Fund for Development (SFD) and the Public Works Projects (PWP) for their respective components.

The project will include four main components, namely: UNICEF in the provision of (Component 1) Cash Transfers, including (a) Unconditional cash transfers to SWF beneficiaries¹; UNDP in provision of (Component 1) Cash Transfers Component, including (b) Cash for Nutrition² (CfN); and UNDP in provision of (Component 2) Labor Intensive Works and Economic Opportunities, including (a) Cash for Work³; (b) Community Assets⁴; (c) Economic Opportunities and Food Market Resilience⁵; UNICEF and UNDP are jointly responsible for the provision (Component 3) of Project Management, Monitoring, Evaluation and Capacity Building of National Institutions; and (Component 4) Contingency Emergency Response.

The project covers the districts of the 22 governorates that have high levels of distress index and most poor communities, women and children with malnourished and non-SWF beneficiary households. For the Unconditional Cash Transfer subcomponent, implemented by UNICEF, the project uses the pre conflict beneficiary list of the SWF CT program.

Key Project Risks

Key project risks include High or Substantial political, security, macroeconomic, and operational risks - particularly the worldwide outbreak of the COVID-19 pandemic and flooding in western parts of the country; and exchange rate volatility and increases in fuel prices / shortages across the country. Political and security risks include potential interference in project related activities which can result in project delays. Moreover, security and political tensions as well as armed conflict may result in the temporary suspension or reallocation

¹ Implemented by UNICEF in partnership with SFD.

² Implemented by UNDP in partnership with SFD.

³ Implemented by UNDP in partnership with SFD.

⁴ Implemented by UNDP in partnership with PWP.

⁵ Implemented by UNDP in partnership with SFD.

of project activities. The recipient agencies (UNDP and UNICEF) and implementing partners (SFD and PWP) will monitor the situation and follow appropriate mitigation measures. Macroeconomic risks include the shortage of fuel along with the potential depreciation of the Yemeni Rial. This can lead to an increase to food prices and raised concerns that key services including medical efforts to combat COVID-19 are at risk. Operational risks include the global outbreak of COVID-19, and its effects on project activities including conducting wide public consultations for risk of infection.

Each sub project's ESMP will be assessed and screened for potential social, environmental and OH risks, developing required activities for mitigating such risks via a Mitigation Plan in line with updated WB and UNDP's Social and environmental safeguard policies and standards (similarly to YECRP). Key project social impacts related to activities under CfW and community assets such as SEA/SH, child labor, land acquisition, gender discrimination and potential of labor influx. Project's risks may include lack of inclusion of vulnerable groups, elite capture of project benefits, security situation on the ground and potential risk of labor influx.

Brief Summary of Previous Stakeholder Engagement Activities

Justification for the “preliminary” SEP: “The speed and urgency with which this project has been prepared to meet the growing threat of COVID-19 in the country, combined with restrictions on gatherings of people has limited the project's ability to develop a complete SEP before this project is approved by the World Bank. This preliminary SEP was developed and disclosed prior to project appraisal, as the starting point of an iterative process to develop a more comprehensive stakeholder engagement strategy and plan. It will be updated with more details provided in the first update planned after project approval.”

UNDP

UNDP is committed to ensuring meaningful, effective and informed participation of stakeholders and partners according to the program or project cycle which include early planning, problem identification and project or program design. Effective stakeholder engagement and participation enable easy project acceptance and local community ownership and empowerment of the social, environmental, OHS sustainability and benefit-sharing. This will lead to full participation and achieving the project's outcomes and outputs with support of all stakeholders and reduce disagreement and conflict and support human rights and social and environmental protection at the same time. UNDP and its partners will ensure the stakeholder analysis, stakeholder consultation with affected and interested groups and engagement plan are effectively and sufficiently implemented in the project cycles.

Since 2016, UNDP and its partners have prolonged collaboration with the WB on previous projects such as YECRP⁶ that has led to accumulative experience and knowledge in stakeholder engagement and consultations. ESF is aimed at ensuring stakeholder engagement, full participation, leaving no one behind and information disclosure to all project activities to address successfully any potential risks, comprising and not limited to:

I- Impacts related to the Social risks, cover:

- (a) impacts relating to mistargeting and the lack of transparency and discrimination marginalised groups; and corruption in selection of the project recipients;

⁶ See more information in this website: <https://www.ye.undp.org/content/yemen/en/home/projects/yemen-emergency-crisis--response---wb.html>

(dated on 21 Sep. 2020)

- (b) Effects of gender blindness, gender based violence, sexual abuse and exploitation typically associated with catastrophic events;
- (c) Negative impacts related to discrimination against women and children elderly and persons with disabilities during project beneficiarie selection;
- (d) Impact related to land acquisition and labor influx;
- (e) Impact related to lack of consultations with beneficiaries, CBOs, affected and interested people, and MFIs,
- (f) impacts related to lack of children protection and children work due to high need of money among poor families; and
- (g) Impacts related to conflict eruption and social disputes due to lack of consideration to the different stakeholders' needs and interests and mishandling water owernship, use and property rights.

II- Environmental risks, incorporating.

- (a) Impacts of overuse, mismanagment deterioratio to soils and land resource;
- (b) Impacts related to solid waste produced by workers (trash and plastic bags) accumulating and polluting the environment; and

III-Occupational and community Health and Safety risks, including:

- (a) Community health and safety impacts relating to project activities during the implementation, COVID-19 and cholera infections impacts related to possible contamination of existing water sources, possible explosion due to remnants of war;
- (b) impacts related to occupational health and safety for community such as accidents during excavation including ERW associated risks, cutting, breaking, quarrying, and transferring of stones...etc.;
- (c) impacts related to destruction of public services infrastructure (airstrikes/use of explosives); and

To mitigate potential environmental, social and OHS risks and impacts, site-specific Environmental and Social Management Plans (ESMPs) will be prepared including contract clauses for contractors.

In conclusion, this project builds on the previous experience from YECRP and renovates SEP according to updated WB and UNDP, to utilize the existed experience and improve consultation engagement with different beneficiaries as CBOs, NGOs and other relevant stakeholders, to reduce the social, environmental and OHS risks; and enhance continues consultations with community committees and affected groups during all project cycles.

UNICEF

The stakeholder engagement approach undertaken by UNICEF for the ECRP and now used for the ESPECRP seeks to identify, contact, communicate, and maintain a regular dialogue with local, formal and informal authorities to facilitate smooth execution of project activities through a contracted Facilitation Organization. The Facilitation Organization ensures that formal and informal local actors and communities understand, accept and support the CT component to enable smooth implementation in a timely, efficient, effective, and inclusive manner.

Subsequently, the Facilitation Organization must identify and meet with the relevant local authorities and community leaders (as applicable) in all the geographical areas where the Project is implemented, prior and during the implementation process, to ensure their buy-in and support for a smooth running of the project, particularly during the payment period and the supporting activities that take place before and after the cycle.

Also, the Facilitation Organization ensures that beneficiaries are informed about the parameters of the project, as well as about the location of the payment sites. The facilitation organization also schedules the beneficiaries' visits to the payment site and facilitate their orderly access to sites. UNICEF contracts and supervises the work of the Facilitation Organisation, which engages about 750 staff to conduct the different activities.

The objectives of the Facilitation Process are to:

- (a) Identify and liaise with the relevant local actors including authorities and inform them about the project thereby gaining acceptance and support to ensure an enabling environment for project implementation throughout the country.
- (b) Strengthen links with the local actors by initiating and sustaining dialogue to receive their support in gaining project acceptance and facilitation of access, communicating project goals and rules within their communities or relevant audiences including the targeted beneficiaries and any other stakeholders.
- (c) Schedule and direct the beneficiaries of cash transfer program to the Payment Sites according to the established schedules, in an organized manner to avoid overcrowding.
- (d) Inform the relevant actors including and not limited to beneficiaries and communities about the Project and schedules of the payment and facilitate the beneficiaries orderly, inclusive and safe access to the Payment Sites.
- (e) Identify vulnerable groups of beneficiaries with physical impediments or sociocultural barriers that prevent them from accessing the Fixed Payment Sites and support them with differentiated measures, such as outreach home visits.

Facilitation Mechanisms

MECHANISM	DESCRIPTION
Meeting Actors at the Governorate level	Actors at Governorate level, including the governor, security authority and governorate local council members are approached by the Facilitation Supervisors once clearance has been given by the Chief of Field Offices to provide them with facilitation letters from the central authorities. This will allow them to start facilitation activities at the District level.
Meeting Actors at the District level	Provides local actors with general information about the CT program, including eligibility criteria and grievance mechanisms; Informs them about the modalities, frequency, and location of the payment sites, takes their opinion in regard to access to those sites and the overall security situation in the district; and Gathers information regarding suitable local actors to involve on village/locality level.
Meeting Local Actors at the Villages /Localities Level	Disseminates information about the CT program, ensuring buy-in and support of local authorities for the project to run smoothly, particularly during the payment period; Inform them about the schedule for ECTP beneficiaries to attend payment sites; Requests their cooperation in sharing the information with the CT program beneficiaries to secure their attendance to the allocated payment sites and on the scheduled dates only.
Disseminating Information to CT Beneficiaries	Local actors assist in actively sharing the information.

UNICEF has also established a grievance redressal mechanism. Beneficiaries and non-beneficiaries can lodge their complaints through a toll-free number, or with field deployed staff using a mobile application for grievance collection, with offline and online capabilities, connected to the project's MIS.

In each payment cycle, a Third-Party Monitoring exercise and Post-Distribution Survey also take place providing an opportunity for engagement with beneficiaries and different stakeholders.

Stakeholder identification and analysis

The project will provide stakeholder consultations and involve all targeted groups, through identifying individuals, groups, local communities, and other stakeholders that may be directly or indirectly affected by the project. The SEP focuses particularly on those directly and indirectly adversely affected by project activities as well as individuals, groups, communities that have interest in the project.

In accordance with best practice approaches, the implementing agencies will apply the following principles to their stakeholder engagement activities:

- *Openness.* Public consultations throughout Project preparation and implementation Project lifecycle will be carried out in an open manner, free of external manipulation, interference, coercion or intimidation. Venues will be easily reachable, and not require long commutes, entrance fees, or preliminary access authorization.
- *Cultural appropriateness.* The format, timing and venue will respect local customs and norms.
- *Conflict sensitivity.* Considering the complex context of Yemen and referring to the humanitarian principles of neutrality and impartiality.
- *Informed participation and feedback:* Information will be provided and widely distributed to all stakeholders in an appropriate format, and provide opportunities to stakeholders provide feedback, and will analyse and address stakeholder comments and concerns.
- *Inclusivity.* Consultations will engage all segments of the local society, including disabled persons, the elderly, minorities, and other vulnerable individuals. If necessary, the implementing agencies, will provide logistical assistance to enable participants with limited physical abilities and those with insufficient financial or limited transportation means to attend public meetings organized by the Project.
- *Gender sensitivity.* Consultations will be organized to ensure that both women and men have equal access to them. As necessary, the implementing agencies will organize separate meetings and focus group discussions for women, girls and boys, engage facilitators of the same gender as the participants, and provide additional support to facilitate access of caregivers

The SEP focuses on:

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

Affected parties

Affected parties who are directly affected by project activities should be closely engaged in identifying risks as well as in the decision-making on the mitigation measures. The direct affected parties include but are not limited to:

UNDP:

- Local communities who are benefitting from the sub-projects and community assets interventions.
- Community workers (men and women);
- Families and communities affected by land acquisition (community land contributions or voluntary land donations);
- Vulnerable people and population in sub-projects and implemented areas, including women, men, elderly, children and people with disability
- Families with pregnant, lactating women and children, including from SWF beneficiary list;
- Internally displaced people (IDPs);
- Community Workers;
- Contracted contractors and employees, consultants, workers and site technicians;
- Field staff directly involved in supervisions and monitoring;
- Local NGOs involved in mobilization and preparation of communities' readiness for implementation;
- MFIs and MSMEs

UNICEF:

- UCT program Beneficiaries (SWF beneficiary list) are the main stakeholders under the Unconditional CT program implemented by UNICEF. They interact with the project during the verification process, payment process and grievance redressal mechanism, as well as outreach and third-party monitoring activities.
- Service provider staff involved in the implementation of the UCT program.
- Authorities and local actors supporting facilitation and outreach activities.

Other interested parties

Other interested parties may not experience direct impacts from the Project. However, they may consider or perceive their interests as being affected by the Project, and thus may affect the Project's implementation.

For UNDP, they include:

- Local authorities including Local councils.
- Other surrounding and ongoing projects in the subproject location.
- Other local national non-governmental organizations (NGOs) and community-based organizations (CBOs).

For UNICEF, they include:

- Community members not on the SWF list.

Disadvantaged / vulnerable individuals or groups

UNDP

It is particularly important to understand project impacts and whether it may disproportionately fall on disadvantaged or vulnerable individuals or groups. Each sub-project has screening process to identify and rank the most vulnerable groups who should be the first beneficiaries according to stakeholder criteria and directly affected by the sub-project. UNDP anchors its overarching principles of environmental and social standards not only on human rights, DO NO Harm, Leaving no one behind and women empowerment, social inclusion, but also to include the vulnerable and minority groups in the Community Committee to ensure all affected people have voices and participated equally. UNDP with its partners work closely with the

community committees to ensure the involvement in stakeholder engagement are inclusive of the following groups:

- The most vulnerable and poor groups who are facing food insecurity and poverty;
- Divorced, widowed, abandoned, pregnant and locating women and female-headed households;
- Families with children;
- Internally displaced People;
- Minority groups and tribes;
- Elderly people;
- People with disabilities;
- Poor families; and
- Female, youth and children headed of household.

UNICEF

The CT component of the project targets SWF beneficiaries who were identified by the SWF prior to the conflict for being the most vulnerable and poor. Within this target group, some may require special engagement efforts to ensure their equal representation in the consultation and decision-making process, such as families living in remote locations, persons with disabilities, females and IDPs. UNICEF will seek the views of vulnerable and disadvantaged groups during consultations if deemed necessary, in a confidential manner to protect their safety, and take these views into account during Project implementation. Information sharing and consultation techniques will be tailored according to the nature and common types of stakeholders, for example through visuals and sign language interpreters will be used for people with hearing disabilities and illiterate persons, where applicable; and venues will be chosen to be easily accessible to people with physical disabilities. In particular, the following tailored measures will apply (see Table 1).

Table 1: Tailored Stakeholder Engagement Measures (Disadvantaged/Vulnerable Individuals or Groups)

Stakeholder Group	Limitations to Engagement	Frequency	Measures/Resources to Facilitate Engagement
Female beneficiaries	May be uncomfortable in sharing opinions, asking questions, or raising concerns in the presence of males, due to cultural/social norms.	In every payment cycle, through facilitation and TPM activities. All year round through the call center.	Hold female focus group discussions through TPM activities. Promote outreach activities led by female facilitators, including a female-only WhatsApp network. Ensure the dissemination of key project messages through multiple channels, including radio, social media, word of mouth, banners, etc. This will include audio-visual materials for illiterate communities.
	Barriers to accessing these meetings (for example, lack of transportation, need of spousal permission, childcare needs)		Time for TPM and outreach activities to take into account the most suitable hours for females to attend. Call Centre remains functional 6 days a week, 10h-13 hours a day for wider coverage.
Beneficiaries who live in remote areas, people with disabilities, elderly	Challenges associated with lack of transportation.	In every payment cycle, through facilitation and TPM activities. All year round through the call center.	Deployment of outreach (mobile) teams to reach remote communities; use of phone to reach out to beneficiaries where required. Ensure the dissemination of key project messages through multiple channels, including radio, social media, word of mouth, banners, etc. This will include audio-visual materials for illiterate communities. Call Centre remains functional 6 days a week, 10h-13 hours a day for wider coverage.
IDPs	IDPs might feel unwelcome to attend group meetings (fear of discrimination)	In every payment cycle, through facilitation and TPM activities. All year round through the call center.	Community and religious leaders usually have a good understanding on the people living in their community and can be used to facilitate participation in stakeholder engagement activities. Ensure the dissemination of key project messages through multiple channels, including radio, social media, word of mouth, banners, etc. This will include audio-visual materials for illiterate communities. Call Centre remains functional 6 days a week, 10h-13 hours a day for wider coverage.

In addition, the implementing agencies will ensure that consultations are meaningful. As indicated in ESS10, meaningful consultations are a two-way process that:

- Begins early in the project planning process to gather initial views on the project proposal and inform project design;
- Encourages stakeholder feedback, particularly as a way of informing project design and engagement by stakeholders in the identification and mitigation of environmental and social risks and impacts;
- Continues on an ongoing basis, as risks and impacts arise;
- Is based on the prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information in a timeframe that enables meaningful consultations with

stakeholders in a culturally appropriate format, in relevant local language(s) and is understandable to stakeholders;

- Considers and responds to feedback.
- Supports active and inclusive engagement with project-affected parties.
- Is free of external manipulation, interference, coercion, discrimination, and intimidation
- Is documented and disclosed.

Summary of Project Stakeholder Needs

As mentioned previously, stakeholder needs assessment was not carried out due to the emergency nature of the project, however, this will be conducted during the first months of project effectiveness. Each project and subproject will be discussed and agreed at the first stage of each sub-project cycle during series of stakeholder consultations, including: prescreening, screening and project identification to draft ESMP or subproject proposal. Stakeholder needs will be based on each subproject and prioritized according to project criteria for the affected people and other non-affected people, CT program beneficiaries, SWF families, families with pregnant and lactating women and children and others, to ensure improving nutrition and food security of the most vulnerable group to malnutrition during COVID-19, the summary of the consultation with plan will be included to ESMP.

Each subproject will be assessed and scrutinized according to the needs and potential risks and levels. The risk management plan and ESCP will be developed according to the subproject risk level and approved by UNDP, UNICEF and the World Bank.

Stakeholder Engagement Program

Purpose and timing of stakeholder engagement program

UNDP and UNICEF are committed to ensuring meaningful, effective and informed participation of stakeholders and partners according to the program or project cycle which include early planning, problem identification and project or program design. Effective stakeholder engagement and participation enable easy project acceptance and local community ownership and empowerment of the social, environmental, OHS sustainability and benefit-sharing. These will lead to full participation and achieving the project's outcomes and outputs with support of all stakeholders and reduce disagreement and conflict and support human rights and social and environmental protection at the same time.

UNDP, UNICEF and its partners will ensure the stakeholder analysis and engagement plan are effectively and sufficiently implemented in the project cycles.

4.1.1 UNICEF Stakeholder Engagement Components

The CT component will maintain the same stakeholder engagement interventions as in the ongoing project (ECRP), where the consultation with beneficiaries and stakeholders happens continuously through Facilitation, Third party monitoring surveys and GM.

4.1.2 UNDP Stakeholder Engagement Components:

- A. Stakeholder Engagement Analysis:** requires involving and full participation of key stakeholder groups and communities from the project planning till the monitoring and evaluation phases. The identification of stakeholders and early consultations with primary target groups help to identify the various stakeholder representatives for the community committees in future. Also, this process covers consultation with all stakeholder groups interests and needs with consideration to the gender, ethnicity, and direct and indirect affected groups by the project or intervention.

B. Stakeholder Engagement Plan: is dependent upon the findings of the stakeholder engagement analysis and consultations during the need assessment and planning phase which it will be carried out at target groups' location at the need assessment , aligned to the human rights-based and inclusive approaches, social-related issues, disability, age, ethnicity. The Stakeholder engagement methodology and plan and approaches should be sensitive and adaptable to the different target groups or local communities who involve in the project, to ensure their active participations and consultations. Besides gender related issues should be mainstreamed and centralized such as Gender, youth, elderly, marginalized/ IDPs/migrant groups and people with disability.

Different project components and implementation activities, potential risks and monitoring issues should be discussed transparently and involve the participation of identified stakeholder groups. The community committee should be elected with consideration to diversity inclusion of men, women, children and marginalized groups.

C. Stakeholder Grievance Mechanism (GM): UNDP is committed to strong stakeholder engagement and accountable to stakeholder Response Mechanism (GM) that supports the project-affected people and UNDP's partners and others to collaboratively address grievance, risks complaints and disagreements related to social, environmental and OHS impacts and standards. UNDP with its partners adhere to follow-up and respond immediately to any complaints within an agreed time between 15-30 days by SFD and PWP. The project partners (UNDP, SFD, PWP, TPM and WB) will discuss a common Management Information System (MIS) that allow to analysis and improve the grievance, complaints, accidents and reporting mechanisms, with high confidentiality and anonymity considerations. The project partners have designated staff with expertise in safeguard, gender, GBV and confidentiality, in additional to the Third Monitor Party (TMP) conducts its quarterly report from the local communities.

UNDP with its implementing partners have designated gender and GBV focal points to follow-up and monitor the project impacts and safeguard the community and affected groups from gender discrimination and GBV risks.

Diagram 1: Stakeholder Grievance Mechanism and Closure



Utilizing YECRP Systems in Place for Stakeholder Engagement

The ECRP has an existing stakeholder engagement system which will continue to be implemented in the current project. Engagement with beneficiaries and communities are conducted on an ongoing basis, through the GM functional all year round, and every payment cycle, through facilitation and TPM mechanisms.⁷

For the UNDP components, meaningful stakeholder engagement is required by PWP and SFD to ensure full participation in project intervention by all communities and individuals. The updated Standard Operating Procedures (SOPs) of both Responsible Parties include procedures for community and stakeholder engagement within their project cycles as a key component of project identification, design and implementation, and describe a key component of the longer-term sustainability strategy for operations and maintenance. The ECRP has an existing system that will utilize and improve the SEP with below mentioned:

- Community committees are set up at the onset of project at the identification and design phase and play a key role in supporting field teams, facilitating implementation and in the sustainability of community assets that are built through subprojects, after project closure. To sustain such community participation and engagement, subprojects include provisions to set up such community committees and provide resources for training whenever required.
- The principles for sub-project cycle identification, development, and management specify that communities are involved from the outset in the selection and design phases, through project closure.
- Engage communities earlier and reduce potential risks of conflicts between stakeholders over sub-projects a careful selection criterion was developed by UNDP and Responsible Parties. While laying out an objective set of criteria, and national data-based distress index, communities are also called upon to participate at the municipal level to engage in prioritization of community projects and identification of beneficiaries.

⁷ Labour arrangements are covered in the Labour Management Plan.

- Subprojects must meet the basic needs according to poverty and service needs provided in national indicators. Priority is given to poorer communities. Data provided through national indicators, community groups are consulted to identify who will benefit from sub-projects, in this way stakeholders themselves are involved in the selection and decision of who benefits from sub-projects;
- Both institutions (SFD and PWP) include gender mainstreaming, GBV and SEA/SH provisions as a means to ensuring equal participation of all stakeholders in subprojects and provide opportunities to improve women's participation in decision-making as indicated in the above section on project impacts and risk, gender section. In addition to develop an action plan to build the capacity on the social safeguard requirements on gender, GBV and SEA;
- The TPM also helps ensure stakeholders have been duly consulted and monitors their level of satisfaction with the ECRP project including with the sub-project selection criteria. TPM surveys have verified implementation of planned interventions, adherence to agreed implementation procedures, quality of implemented interventions, beneficiaries and community satisfaction on various aspects of project interventions and its effects/impacts on targeted beneficiaries and communities. Women and men, youth are interviewed separately to enable meaningful participation by marginalized groups; and
- ESMF stakeholder consultations well noted the need for strengthened and ongoing stakeholder engagement, bringing together the various stakeholders more regularly as true partners to help identify solutions to the challenges faced by the project. Stakeholder engagement will continue to be a priority of the project and project partners will continue to explore new and effective means to deliver on this commitment. Each sub-project should include a budget line for stakeholder engagement and training.

In nutshell, UNDP and its partners' experience and knowledge and capacity will ensure together we meet the purpose and ensure timely implementation of the SEP.

For the UNICEF component, the ESPECRP project will maintain a similar ECRP stakeholder engagement system as described in section 2, with continuous monitoring and efforts being made to further strengthen the mechanisms which have already been established.

- Engagement mechanisms will maintain the regular contact with beneficiaries, local actors and other stakeholders, prior, during and after the payment period, through facilitation and TPM activities;
- Efforts will continue to be placed to increase the involvement of females, seeking innovative mechanisms to address barriers to female involvement due to the existing socio-cultural norms;
- The GM will remain functional across the year, giving beneficiaries and non-beneficiaries an ongoing opportunity to provide their feedback to the project. Further efforts will continue to be placed on increasing beneficiaries' awareness about the GM channels and encourage them to file their complaints;
- TPM activities will continue to take place, with involvement of beneficiaries and other stakeholders, to collect their feedback on the different project processes.

Proposed Strategy for Information Disclosure

During Project implementation, the implementing agencies will disclose information on the content of the project as well as related processes to targeted stakeholder audiences. Key dates for information disclosure are at the start of the project, at mid-term as well as at the end of the lifespan of the project.

Formats of information disclosure are a combination of different channels as found suitable for each specific project component. These can include face-to-face meetings where applicable, accompanied by information shared via radio, television, newspapers, posters, brochures and leaflets as well as via websites and social

media. Information disclosure formats will be determined in discussion between the two agencies and the implementing partners SFD and PWP, following Project effectiveness.

UNDP

UNDP works closely with its partners (SFD and PWP) to implement the following:

- Creating two-way communications among affected, other interesting and disadvantaged people
Distribute information to Government officials, NGOs, Local Government, and organisations/agencies.
- Continuous and regular coordination and follow up with project partners such as IPs, other UN agencies and Clusters to brief on projects.
- During the Initial phase - Informing the communities on the consultation process (by phone, face to face meetings, group discussion meetings), conduct field survey in coordination with communities - Inform them on the Overall Project Objectives , the sectors of interventions, available budget, methods for selection of intervention, importance of participation of all members including women, IDPs, vulnerable individuals or groups and marginalized groups if any.
- Encouraging local communities to share their views and feedback freely on targeted baseline information and build robust relationships with communities.
- Recording and documenting any community's responses and concerns during the screening, assessment, management, implementation and monitoring and evaluation consultations.
- Encouraging the community to use GRM tools such as (mailbox, telephone, emails and others), including for use on negative impacts and providing training on how to submit confidential complaints.
- Raise awareness against COVID-19 and other health risks (such as Cholera) and the preventive measures.
- Community Social Agreements that define the roles & responsibilities of the communities towards Health & Safety of the communities.
- Enhance community participatory monitoring
- IPs applying different techniques of consultations against discrimination and adapted to local traditions, norms, gender, age and ethnicity.

UNICEF

- Continuous and regular coordination and follow up with project partners such as IPs, other UN agencies and Clusters to brief on projects.
- Ensuring the implementation of a comprehensive communication strategy where project parameters, payment locations and payment dates, as well as GRM and fraud awareness messaging is disseminated using a combination of channels.
- Recording and documenting beneficiaries and other stakeholder's responses and concerns during the monitoring and evaluation consultations.
- Encouraging beneficiaries and the community to use GRM channels.
- Raise awareness against COVID-19 and other health risks (such as Cholera) and the preventive measures.
- Creating two-way communications between UNICEF and broad community using social media;

Proposed Strategy for Consultation

Given that all interventions in the ESPECRP project are the same as in the current UNDP project (ECRP), consultations with beneficiaries and stakeholders will occur in a similar manner, i.e. where community committees are established for targeted areas including representatives of all groups (men, women, IDPs, disadvantaged groups) in the process and then intervention areas/locations prioritized dependent upon the needs and expected benefits for the society. – in this regard, each sub- project will determine in which general location the stakeholder engagement plan will be rolled-out in. Continuous monitoring will be undertaken

through third party monitoring surveys and GM, in addition to the IPs’ staff and community members (through participatory monitoring approach).

Table 2: UNDP proposed Strategy for Information Disclosed and Consultation⁸

Sub-Project phase	List of information to be disclosed	Methods	Target group	Responsibility
Project Identification, Screening and Assessment	ESMP document includes area, target group, estimated cost, GM/CHM, ESFM, ES & OHS risks management and mitigation plans, GBV/ SEA/ gender mitigation/ prevention plan.	Participatory methods, door to door/social distance meetings, public consultations, documentations	Affected groups and interested groups: men, women, youth, elderly, people with disability, disadvantage groups, migrant/IDP people, NGOs/CBOs,	UNDP through IPs
		Awareness sessions/ training for Gender/ GBV and SH, GRM and complaint’ channels/ confidentiality and anonymity complaints	Affected people, marginalized and women groups, MFIs and MSMEs and community committee	UNDP and IPs and Safeguard and Gender specialists
Implementation and Monitoring	Updated on implementation of subproject, SEA and GBV preventions, GRM types and closure, accidents and LMP, environmental and mitigations, qualitative impact indicators	Field visits/ FGD public and Community Consultations	Affected/ disadvantaged target groups, community committee	UNDP
		Consultations/ FGD, daily meeting/ field visits, GRM cases and accidents’ reports and updates	Affected groups (include Sub-component 2.1, 2.2 and 2.3) and community committee, contractors, injured and complained people	UNDP and IPs’ Safeguard specialists, field offices
		GRM/ incidents, GBV and SH prevention/ referral pathways and daily monthly/ biweekly reports	Community committees, and GBV and SEA/SH survivors	UNDP, IPs, gender, GRM and safeguard specialist, and Gender focal points at fields
Evaluation and close	M&E Spot-Checks where accessible; Third Party Monitoring Report, documentations	FGD with beneficiaries and non-beneficiaries	Affected, interested/disadvantages and non-beneficiaries, local NGO/CBOs and local government	UNDP with hired TPM and IPs

The implementing partners will apply multiple methods and techniques (see table 2 above) to consult and communicate with stakeholder groups which are verified according to the location, targeted groups, such as:

- Semi structural and door to door Interviews with stakeholders and relevant organization;
- Hard and soft Surveys and questionnaires.
- Public meetings, workshops, and/or focus group.
- Participatory methods and approaches.
- Other traditional mechanisms for consultation and decision making.
- Stakeholder engagement events and consultations will be applied to receive any comments may raise during individual meetings, group meetings, and community sessions.
- During the project cycle the meetings will be continuously are organized during the project identifications, screening, assessment, management and reporting and evaluation phases.
- During the COVID 19 the prevention measures of social distance will apply to have telecommunication, or meeting with specific number of people and door to door discussion during the stakeholder consultations.

⁸ UNDP and IPs imply all COVID19 prevention measures in all their activities.

- According to the stakeholder groups knowledge ability to read and write, the communication techniques of the data collection, and feedback and comments will be decided jointly; and
- IPs will document any consultation via written report, photos and short video is possible. Besides consideration to the gender segregation in public consultations to ensure women are participated freely and no discrimination among different stakeholders.

Table 3: UNICEF Proposed Strategy for Information Disclosure and Consultation

Project Stage	List of information to be disclosed	Methods Proposed	Target Stakeholders	Responsibilities
Prior and during each payment cycle	CT project parameters, location and dates of payments, GM, Fraud and SEA prevention, COVID-19 measures	Official meetings and official letters	Central level authorities and Governors	UNICEF
		Official meetings and official letters; Facilitation meetings	Governorate and district level authorities	UNICEF/SFD through Facilitation Organization
		Community meetings, Community influencers and leaders (word of mouth), Radio, Social Media (Facebook, Twitter, WhatsApp), Friday Speeches (by Imams), GM, Printouts including banners, cards, posters, leaflets	Local actors, Community members, SWF beneficiaries	UNICEF/SFD through Facilitation Organization and GM personnel
		Progress updates	Consultative Committee members	UNICEF
Between payment cycles (non-implementation phase)	CT project parameters, Fraud and SEA prevention, COVID-19 measures	GM	Community members, SWF beneficiaries	UNICEF/SFD through GM personnel
		Progress updates	Consultative Committee members	UNICEF

- During the implementation of this strategy, the project will strictly comply with the necessary COVID-19 preventative measures including maintaining adequate physical distancing, ensuring the use of masks or face coverings by all participants in the meetings, adopt the regular use of hand sanitiser and conduct meetings preferably outdoors and with a small number of participants.

Proposed Strategy to Incorporate the Views of Vulnerable Groups

UNICEF, UNDP and the Implementing Partners will apply the following principles for stakeholder engagement:

- **Free and full participation:** public consultations for the project will continue during the whole project lifecycle from preparation through implementation. Stakeholder engagement will be free of manipulation, interface, coercion, and intimidation.
- **Two-way communication approaches and Informed participation and feedback:** information will be provided and widely distributed among all stakeholders in an appropriate format; conducted based on timely, relevant, understandable, and accessible information related to the project. Through continual meeting and encourage feedback from the stakeholder groups and also provide hotline, mailbox to provide any comments with high confidentiality.
- **Inclusiveness and Do NO HARM:** stakeholder identification is undertaken to support better communications and building effective relationships. The participation process for the projects is inclusive. All stakeholders are always encouraged to be involved in the consultation process. Equal access to information is provided to all stakeholders. Sensitivity to stakeholders' needs is the key principle underlying the selection of engagement methods.
- **Separated, private and face to face consultations:** Special attention is given to vulnerable and minority groups particularly women headed households, youth, elderly, people with disabilities and the cultural sensitivities of diverse ethnic groups; and
- **Periodically and various meeting type:** there are various types of individual, small group meetings public gather, face to face private meeting all be used depend on the location and the needs of stakeholder groups and their opinions are taken and discussed with the other group within the community.

Timelines

UNDP, UNICEF and the Implementing Partners are committed to ensuring proper communication and appropriate information disclosure through the continuous consultations and meetings with stakeholder groups.

For UNDP, this will happen as follows:

- Daily with IPs' field staff and supervisor meet with sub-project' Community Committee, affected people (subcomponent 2.1, 2.2 and 2.3);
- Periodically bi-weekly, monthly and quarterly visits by safeguard, Gender/GBV focal point, IP management staff;
- UNDP and TPM will conduct inception and field visits;
- Urgently and immediately, in case any complaints, GM and incidents happened; and
- All GM complaints and cases should be mitigated and treated within two weeks according to the Complaints Handling Mechanism (CHM). Also, the developed IMS will also alert if complains are in need to be treated immediately based on the urgently of the issues and concerns.

For the CT component, UNICEF/SFD will adopt the same timeline used during the current ECRP, with stakeholder engagement happening before and during the payment period through facilitation, TPM and PDM activities conducted prior, during and after the payment period; and a functional GM through which grievances will be immediately analyzed and acted upon within the timeline defined by the relevant protocols.

Review of Comments and Future Phases of Project

The project's implementing partners, UNICEF and UNDP will gather the stakeholder's written and oral comments to the CHM and Grievance Response Mechanism (GM), established in UNICEF, SFD and PWP during project implementation. In addition, UNDP will develop a MIS system to categories all GMs complaints according to issues and the time of response. UNICEF, UNDP and IPs agree to ensure all GM complaints be treated in accordance with good faith, natural justice and fairness and be resolved as per the existing protocol⁹. Unless particular cases are required to be handled through a judicial/legal process. In addition, the project will provide urgent responses to critical cases. UNICEF, UNDP and the Implementing Partners will develop an agreed common MIS system that will allow transparency and accountability for reviewing stakeholders' concerns. The IPs will provide hotline and telephone services for responding to immediate and urgent concerns or needs during the implementation phase.

Resources and Responsibilities for implementing stakeholder engagement activities

Resources

UNDP and UNICEF will be responsible for managing the project over a two year-period . UNDP will work with collaboration with SFD and PWP and UNICEF will work with SFD. UNPD and UNICEF will improve the capacity of the implementing partners to implement the stakeholder engagement and social safeguard related issues effectively and ensure participation of the stakeholders through all project activities with budget allocation.

UNDP will hire a Third-Party Monitoring (TPM) to develop respective agency-run call-centers, ensuring IPs have contact email and mobile telephones to receive complaints at any time.

For the CT component, UNICEF and SFD will be engaged in facilitation, TPM and GM costs as per the contracts issued with the service providers in order to reach the service the SWF beneficiaries.

Grievance Mechanism

All responsible Parties have a grievance mechanism or what so called – Complaints Handling Mechanism (CHM) in place and have previous experience of working in Yemen as guided by UNDP, UNICEF and by World Bank rules and regulations.

UNDP

A complaint in the GM ensures stakeholders can express dissatisfaction about the standard or quality of the Responsible Party's activities. Additionally, it allows identification of any negative and lack of actions taken by either of the Responsible Party or their partners that directly or indirectly cause distress to the affected beneficiary or any other party. Complaints can be received through complaints box at subprojects sites, face to face to designated field or GM officer, through telephone or fax numbers as well as emails, all complaints will be shared and disseminated before implementation phases. There is a CHM established within the ECRP which it will be improved and adapted to the ESPECRP to address Gender and GBV/SEA complaints under responsibility of gender focal points and report to gender officer, in coordination to GM and safeguard officers. SFD, SMEPs and PWP will be adopting new GM classification to ensure gender/ GBV and SEA are included. The updated CHM will receive complaints via different channels such as call centre, text, complaint box,

⁹ the majority of grievances take 1 – 15 days to be addressed while others may take over 30 days specially if had to be escalated to official legislative channels or investigated by a third-party.

telephone, WhatsApp, and Email which are well registered, mitigated, monitored, and closed within 15 days. The objectives of CHM are as follows:

1. Improve accountability to UNDP, SFD, SMEPS and PWP and their beneficiaries for Sub- component 2.1, 2.2 and 2.3;
2. Increase the level of beneficiaries' satisfaction with the delivery of services and enhance the relationship between beneficiaries and IPs (SFD, SMEPS and PWP);
3. Provide an efficient, fair and accessible mechanisms for resolving beneficiaries/partners complaints.
4. Guide SFD, SMEPS and PWP staff in handling complaints with specialised staff at the field and office such as gender, GRM and ES and OHS safeguard; and
5. Allow to rectify mistakes, raise alertness to problems, and continuously learn and improve.

The CHM is characterized by a number of important features, including the following:

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

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

UNDP's SRM is intended to:

- Improve environmental and social outcomes for local communities and other stakeholders affected by UNDP projects;
- Enhance UNDP's ability to manage risks related to its Social and Environmental Standards, in order to avoid or mitigate social and environmental impacts;
- Ensure that UNDP responds to the concerns of project stakeholders with regards to social and environmental risks and impacts;
- Ensure feedback and operational learning from the SRM, by integrating SRM requests, responses and results into UNDP's results-based management, quality assurance processes;
- Submission monthly report on GRM by the two responsible parties to UNDP and the issues of complaints and duration of HCM are monitored by UNDP and TPM;
- Reflect and advance best practices among social and environmental grievance resolution processes to be a regular, integrated part of project management; and
- UNDP will hire TPM to develop a MIS system and on hotline calling centre to receive any complaints in addition to responsible partners MIS systems as below.
- Table 4: GRM/GM CHM for YECP and ESPECP

UNDP partner GRM	Telephone or WhatsApp number	Email	Contact Person
SFD	8009800/772045256	chm_hq@sfd-yemen.org	Mohammed Al-Antari
PWP	8002626/77526262	a.sharhan@pwp-yemen.org	Abdulrahman Sarhan
SMED	8005550/774002215	feedback@smeps.org.ye wmothana@smeps.org.ye	Wafa Muthana

Project-Level Grievance Mechanism

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

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

The Grievance Mechanism:

- provides a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
- allows simple and streamlined access to the Grievance Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
- provides clear and known procedures for each stage of the Grievance Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
- ensures equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
- provides a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
- enables continuous learning and improvements to the Grievance Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.

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

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

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

- time, date and nature of enquiry, concern, complaints and/or grievances.

- type of communication (e.g. telephone, letter, personal contact);
- names contact address and contact number.
- anonymous complaints are also registered, investigated and solved.
- response and review undertaken as a result of the enquiry, concern, complaints and/or grievances; and
- actions taken and name of the person taking action.

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

UNICEF

The Grievance Mechanism (GM) includes a component of grievance collection, whereby complaints from beneficiaries, community members and project staff are received and logged into the project's Management Information System (MIS); and a component of redressal whereby the grievances are analysed and acted upon. The data of the complainant is collected when filing the grievance; but all complaints are treated with confidentiality and the complainant information is not disclosed to those against whom the complaint is filed. Anonymous complaints are also entertained provided that the information provided by the caller is sufficient to identify what action to be taken.

A call center established for the Project in Sana'a is used by beneficiaries to file their grievances using a toll-free line (8003090). The call Center is open six days a week and operates for a minimum of 8 hours a day, with the number of working hours increasing as required to respond to the demand based on ongoing monitoring of the number of calls.

Due to concerns over the effectiveness and quality of the grievance collection and the need to secure the independence of this service, the call center will operate under UNICEF's direct oversight. Trained Call Centre Agents – both males and females - ensure that these grievances are registered in the Grievance module of the Management Information System (MIS) within the appropriate grievance type, to ease the analysis and redressal.

Due to the risk of exclusion of those beneficiaries in areas with limited or no phone network coverage, UNICEF has released a mobile application for grievance collection. Dedicated field staff deployed in such areas collect grievances directly from beneficiaries through face-to-face interaction and store them in mobile devices through this offline-capable application. When connected to the internet, this mobile application connects to the MIS and the grievance information is deleted from the mobile device and uploaded in the system.

All grievances recorded in the MIS are automatically categorized allowing for redressal as per agreed protocols. Grievances of suspected fraud are subject to a first level of desk review to determine which ones require immediate investigation by the third-party monitoring organization; and which ones need a different type of redressal such as review of documentation, clarifications to the beneficiary, etc. Grievances associated with the quality of services or mistreatment are referred to the concerned contract manager for follow up with the service provider. Grievance linked to beneficiary issues (i.e. challenges experienced by the beneficiaries that prevent them from collecting their cash benefits) are addressed by the case management team – with males and females.

UNICEF will handle SEA/SH grievances as outlined in the note Grievances Mechanisms for SEA/SH in World Bank-financed Projects. The mandate of a SEA/SH Grievance Mechanism (GM) is limited to: (i) referring, any survivor who has filed a complaint to relevant services, (ii) determining whether the allegation falls within the UN definition of SEA/SH, and (iii) noting whether the complainant alleges the grievance was perpetrated by an individual associated with a World Bank project. A SEA/SH GM does not have any investigative function. It has neither a mandate to establish criminal responsibility of any individual (the prerogative of the national justice system), nor any role in recommending or imposing disciplinary measures under an employment contract (the latter being the purview of the employer). All branches of the GM must be sensitive to handling

SEA/SH complaints, including multiple reporting channels, the option of reporting anonymously, a response and accountability protocol including referral pathways to connect survivors with needed SEA services.

Through the GM, community members and service providers may make complaints on issues such as the following:

- Adverse social or environmental situation caused by the project;
- Access to project services – (for example if an intended project beneficiary has not been reached by the project.);
- Deviation in implementation or use of project inputs – (if implementing partners deliver services or pay to beneficiaries an amount less than the standard set by UNICEF for the project);
- Complaints on SEA related issues with ensuring complete confidentiality to protect impacted survivors due to culture norms in the country; and
- Any other concerns

The CT program GM will:

- Be responsive to beneficiaries, address and resolve their grievances;
- Serve as a channel to receive suggestions, and to increase community participation;
- Collect information to enhance management and improve implementation performance;
- Promote transparency and accountability on the modality and performance of the project;
- Deter fraud and corruption;
- Include referral pathways to refer SEA survivors to appropriate support services;
- Mitigate environmental and social risks; and
- Build trust between citizens and ECT management.

GM Principles:

- Protect beneficiaries' and stakeholders' rights: beneficiaries and stakeholders have the right to make their voices heard. No retribution will be exacted for participation/use of the GM system.
- Transparency and Accountability: All complainants will be heard, taken seriously, and treated fairly.
- Timeliness: All complaints will be addressed as per protocols.
- Neutrality, Equity, and Non-Discrimination: All complaints will be treated with respect and equally regardless of the community groups and individuals, types, ages and gender.
- Accessibility: The GM will be clear and accessible to all segments of affected communities.
- Confidentiality: Information communicated through the GM is restricted to a limited number of people and is not disseminated more widely, offering protection and security to the complainant.

The entire grievance collection and redressal process is registered and recorded into the MIS. This enables the implementation of comprehensive quality assurance processes, with concrete protocols, to ensure that all grievances are recorded and handled in a proper manner. The average timeline for redressal of the grievances is 2 to 8 days. However, some grievances may require over 30 days to be addressed notably grievances of suspected fraud which require to be investigated through a third party. Where a complainant is not satisfied with the outcome of their grievance, they can file an appeal which is escalated to the Programme Specialist responsible for the GRM and where applicable the Senior Coordinator.

Currently, the Project GM counts with the following dedicated personnel:

- 70 Call Centre Agents and 2 Supervisors, supporting grievance collection through the call centre;
- 70 Case Managers and 4 Supervisors, handling the analysis and redressal of grievances;
- 129 Case Management Assistants, supporting Case Managers with the redressal and assisting grievance collection using the mobile application;
- 1 UNICEF staff supervising the Call Centre and 1 UNICEF staff supervising the Case Management team.

In addition, the GM is supported by all UNICEF contract managers who support in liaising with the service providers to address the grievances, and by the UNICEF PSEA Coordinator and GBV Specialist for PSEA and GBV complaints. UNICEF field staff and Field Monitoring Consultants also support the grievance collection through the mobile application. The GM benefits from technical guidance of a Programme Specialist and oversight by the PMU Management.

Based on the experience of the ongoing CT component of the ECRP, the types of grievances and their categories stipulated by the CT program are described in the following table:

Grievance categories and types

Grievance category	Grievance Type
Suspected Fraud	The beneficiary was issued a CM form, but the CM form was never given to him/her by the CMA
	Demand of fee/commission
	Person claiming no payment
	Received lower amount than assigned
	Someone is collecting the passbooks and cash on behalf of them
Service Quality	The project staff is not using COVID-19 protective gear (select gloves, masks, other)
	No priority for vulnerable groups at the payment site
	The bank notes I received are not acceptable in my district
	Site not open
	Case Management team did not provide the necessary information to the beneficiary
	Lack of cash
	No security personnel available
	Site located too far away from home
	Staff not helpful
	Multiple visits to the site to be paid
	I was asked to do a copy of my ID outside the payment site to be able to receive the cash
	No female staff available
	The payment was suspended in my governorate
	I was refused payment in my scheduled date
	I have not been informed of my scheduled date
	Long wait at site
	No screening officer available to organize the crowds
	Delay in Responding/processing the grievance
	The Officer/Cashier retained the beneficiary's Case Management form
	No adequate facilities (no waiting area, no seats, no toilets/no proper toilet)
	The payment agency allocated to beneficiary does not operate in his district of residence
	Difficulties in collecting because the site is operating offline
ID rejected by bank system	
I have requested to be paid at home, but the payment agent did not come	
System is not working/connection problem	

Grievance category	Grievance Type
	The Officer/Cashier retained the beneficiary's ID
	Lack of information about steps to collect the money/services available/other (explain what)
	The banknotes I received are very old or torn
	The beneficiary is eligible for payment but not paid
	The Case Management Assistant met the beneficiary but not at the beneficiary's house
	The beneficiary and the case management assistant agreed on a visit date, but the case management assistant did not come
	I made a grievance about suspected fraud, but the grievance was not solved
	I have requested to be paid at home, but I have not been flagged as home outreach
	COVID-19 security distancing (at least 1 meter) was not enforced by the project staff (select: at community meetings, at payment site, during CM work, during TPM work, during fraud investigation work)
	There was no hand sanitizer at the payment site
Mistreatment	I was asked for a favor to benefit from the project
	Poor attitude of staff
	Physical aggression
	Verbal aggression
Beneficiary issues	The beneficiary is differently abled, dependent on a family member's care, live in a household and are the only beneficiary in the list
	Issues with names as per his/her ID
	I cannot collect my cash because I am flagged as "No payment"
	I cannot collect my cash because I am flagged as Disqualified
	I want to edit/change grievance.
	I want to withdraw my grievance
	SWF passbook or ID lost/damaged
	Beneficiary cannot attend the operational Site
	Beneficiary is deceased
	No ID, or ID lost/damaged
	I have an ID but have not yet been verified
	Cannot collect because of expired ID
	I am wrongly flagged as deceased
	Beneficiary who is a minor and does not have a representative on the Beneficiary List
	The beneficiary is in a health institution or orphanage and there are no family members
	I want to cancel my home outreach request
	I am flagged as "Requires CM"
	I cannot collect my cash because I am flagged as no show
	My case was rejected because of lack of documents but now I have the documents needed and want CM support
	Grievance follow-up: I was contacted but could not pick up the phone/was out of coverage
I want to update my address (location)	
I want to update my phone number	
Staff challenges	I am being forced to work extra hours without being paid for the extra time

Grievance category	Grievance Type
	I have been mistreated by my superiors/colleagues
	I was asked for a favor to work for the project
	I have not been given adequate/safe working conditions
	I have not received the salary I am entitled to
	I did not receive proper training

Monitoring and Reporting

Involvement of stakeholders in monitoring activities

UNDP will include in the final Stakeholder Engagement Plan measures to ensure the involvement of stakeholders in project monitoring during the implementation phases, and to enhance community's ownership and participation including:

- IPs with subproject's community committee will organize biweekly, monthly and quarterly meetings to collect, register and address the GM received at each site. Sometimes urgent meeting can be called to address any immediate responses and actions;
- UNDP, and the IPs will monitor involvement of stakeholder as agreed in the SEP;
- UNDP, and the respective TPMs will monitor the project or impact associated with the project at quarterly basis and also monitor a developed MIS and hotline to respond to the GM complaints; and
- UNDP, the IPs and the TPM to collect and consolidate best practices and lesson learned from the field visits.

UNICEF will maintain the current ECRP arrangements, where a TPM will be contracted in each payment cycle. UNICEF/SFD will also maintain regular monitoring of the progress and challenges.

Reporting back to stakeholder groups

For the component implemented by UNICEF, the project's IPs work is focused on ensuring reporting back to stakeholder groups and two-way communication on daily and weekly basis by the field engineering and monthly and quarterly by the safeguard team and TPM. In addition to safeguard and GM staff will provide direct reporting and handling mechanism to any complaints and concerns from community within 15 or 30 days.

Disclosure

All safeguard instruments will be disclosed in English and Arabic in country (UNICEF and UNDP¹⁰),and WB website.

¹⁰ Check information disclosure in the UNDP website:

<https://www.ye.undp.org/content/yemen/en/home/projects/SPECRP.html>

1. ANNEX: STAKEHOLDERS ENGAGEMENT

1.1 Community Outreach

Number of communities and participants reached

In the ninth payment cycle, UNICEF and the Project through the Facilitation Organisation engaged over 129,000 people, including local actors and beneficiaries¹¹, from 38,025 villages/communities which correspond to 99 per cent of the totality of the 38,412 villages/communities covered by the Project. The engagement happened through around 27,963 face to face meetings conducted in 75 per cent of the communities with exception of communities with less than 6 beneficiaries where the engagement happened through phone calls covering 10,090 localities (25 per cent) in urban and rural areas. Outreach field visits and card distribution started on 9 January 2021 in the Southern governorates and on 12th Jan for the northern governorates. The outreach activities lasted between 10 and 16 days during the payment period in each district, taking place at different days in each community.

Community meetings has proved an effective way to engage beneficiaries and local actors



Table 1 illustrates the total number of villages/localities covered by meetings or calls organized by the Facilitation Organisation, the number of actors/beneficiaries engaged and the estimated reach of these efforts. Table 2 illustrates the type of local actors who joined these meetings or calls. Efforts were done in low performing communities and desert areas by involving more active local actors in these areas. To further improve information dissemination there was also an effort to increase the number of Imams and women in the facilitation network.

TABLE 1: REACH OF ENGAGEMENT EFFORTS

Governorate	# villages/communities reached through meetings or phone calls	# actors/beneficiaries engaged in meetings or reached through phone calls	# estimated beneficiaries in the covered villages/communities
Abyan	1,785	4,846	52,018
Ad Dali	1,347	4,266	46,576
Aden	241	707	42,640
Al Bayda	1,460	4,657	56,372

¹¹ Up to a maximum of 6 beneficiaries by community

Al Hodaydah	2,510	10,556	155,475
Al Jawf	474	1,847	51,607
Al Mahrah	321	800	13,726
Al Mahwit	1,231	5,519	39,019
Amanat Al Asimah	891	2,361	77,013
Amran	1,740	6,534	82,671
Dhamar	3,293	10,986	75,566
Hadhramout	2,042	5,028	70,739
Hajjah	3,804	13,365	142,190
Ibb	2,956	12,416	147,026
Lahij	3,850	9,650	83,320
Marib	465	1,737	25,625
Raymah	755	3,403	37,590
Saadah	1,147	4,216	39,236
Sanaa	2,111	8,305	61,326
Shabwa	2,853	7,209	59,851
Socotra	516	1,095	6,471
Ta izz	2,233	9,528	199,426
Grand Total	38,025	129,031	1,565,483

Type of local actors

Type of local actors	Cycle 9		
	Male	Female	Total
Imam	7,052	1	7,053
Ammen/Aqil	11,663	9	11,672
Social Actor	31,437	242	31,679
Sheikh	5,240	2	5,242
Local Council	2,829	6	2,835
Education Staff	10,532	296	10,828
Health Staff	2,018	173	2,191
Gov official/staff	828	13	841
Beneficiaries	41,528	5,458	46,986
Others	9,335	369	9,704
Total	122,462	6,569	129,031

In addition to the 129,031 local actors and beneficiaries who participated in community meetings or phone calls, over 300,000 beneficiaries in urban centres who visited scheduling card distribution points were briefed by the Facilitation Officers and/or the Scheduling Assistants on the Project's key messages.

Topics discussed

The engagement focused on the project parameters and dates, including:

- Beneficiary eligibility criteria;
- Requirements to receiving project benefits;
- Top-up to the benefit amount provided in payment cycle 9;
- Grievance redressal mechanism, notably the UNICEF call centre number;

- Scheduling mechanism, its importance and ways of receiving information on the dates and locations to be paid;
- Reinforce the messages for those who were never served to reach out to the call centre for support in having their identities verified;
- Importance of the COVID-19 preventative measures that were being implemented by the project, notably at the payment sites, as well as the measures beneficiaries were expected to adhere to.
- Obtain their feedback regarding movement restrictions or accessibility concerns and security of beneficiaries.
- Seek cooperation of the local actors in disseminating information to the beneficiaries and the community.
- Seek their support in resolving issues that arise during implementation, ultimately guaranteeing that beneficiaries and service providers are granted access to the geographic areas.
- Receive advice or information regarding suitable local actors to assist and support at the village/locality level.

To strengthen beneficiary awareness of the grievance redressal mechanism and fraud reporting, the messaging guidelines were revised to include examples of all types of complaints to ensure local actors reached in the meetings and through the community WhatsApp groups have a better understanding of the grievance redressal mechanism and conveyed to beneficiaries the uses and importance of the Call Centre and reporting grievances.

In late September 2020, Sabafon one of the country's top four mobile phone operators moved their headquarters from Sana'a to Aden. Since the relocation, Sabafon users in areas under the control of the Internationally Recognised Government have been unable to consistently connect to telephone numbers located in areas under control of the de-facto authorities in Sana'a, such as the UNICEF Call Centre. To ensure all beneficiaries had access to a channel they could use to submit grievances, dedicated Sabafon telephone number(s) were established for the impacted governorates and were disseminated locally with support of the Facilitation Organisation. Communication materials were specifically developed and circulated in each of these governorates with the numbers they can reach to submit grievance.

Outcome of these meetings

- Participants learned the key messages to be delivered to their communities as per the topics above; and the cascaded communication to reach beneficiaries was initiated.
- An agreement was reached in relation to the best location within the community to place the scheduling poster containing the date and location of payment, ensuring it could be accessible to all;
- Areas with accessibility and movement restrictions were mapped out. Examples of this were areas in Marib, Al Bayda and Abyan governorates where access had been restricted due to the escalation of the conflict; or areas with COVID-19 related restrictions. This information was used during the process of review of the payment plan to advise on required changes to the initial payment locations, in order to ensure that payment sites could be reached by all beneficiaries in a safely manner.
- Local actors committed to support in solving any bottlenecks arising; or identified who in the community could support in solving with specific matters. Any new local actor identified during these meetings was then approached to secure their support.
- Local actors committed to inform the Facilitation Officer in case the beneficiaries in their localities faced challenges in accessing the payment sites.
- In the displacement destinations of Saada, Al-Jawf and Marib governorates, local actors provided information on the areas where displaced people had recently settled to inform the location of payment sites.

COVID-19 preventative measures

Since the COVID-19 global pandemic is still ongoing, modifications first implemented in response to the coronavirus were continued and included the following:

1. Whenever possible meetings were organised outside. When this was not possible meetings were held in well ventilate areas. For meetings taking place indoors, the maximum number of participants able to attend was five and for outdoor meetings the number of participants for each meeting was reduced.
2. Rather than targeting a cluster of villages to attend the same community meeting, instead village level targeting was done to reduce the movement of people participating in the meetings. Therefore, reducing the likelihood of transmitting COVID-19 between villages.
3. During the meetings, no leaflets were printed and distributed, only posters and banners were used and then displayed at the community level.
4. Protective equipment including gloves, sanitiser and maskers were provided to all field staff for the period of the implementation.



Community meetings were organized outdoors to minimize the risk of COVID-19 spread

Communication network

To complement these efforts, in the ninth payment cycle, the WhatsApp channel continued to be a critical pathway used by the Facilitation Organisation to disseminate messaging. The network included over 150,000 local actors and beneficiaries with 18 per cent females. Included in the network are all participants at community meetings with telephones. Alternatively, a few local actors were only contacted through WhatsApp messaging in social actor groups. These local actors received messages especially designed for sharing via social media platforms including WhatsApp and contained messaging or highlighted new instructions or modifications to implementation throughout the cycle and as requested by UNICEF.

Female engagement

Adding to this, the female exclusive WhatsApp network included 20,996 female actors and female beneficiaries from 280 districts who received all the messages and scheduling plans via this communication channel. In addition to the WhatsApp network and females who attended the community meetings organized by the Facilitation Organisation, around 130 females attended the pilot female meetings done in two districts (Al-Hazm in Al Jawf, and Jehaf in Addhalea). These sessions were conducted by two female volunteers focusing on the grievance mechanism.

Governorate	# Females in the WhatsApp female network
Abyan	567
Ad Dali	1231
Aden	600
Al Bayda	308
Al Hudaydah	948
Al Jawf	841
Al Mahrah	631
Al Mahwit	955
Amanat Al Asimah	593
Amran	1419
Dhamar	2112
Hadhramout- Al Mukalla	638
Hadhramout- Seiyun	299
Hajjah	2719
Ibb	1192
Lahij	142
Marib	795
Raymah	339
Saadah	637
Sanaa	618
Shabwa	799
Socotra	117
Ta izz	2307
Grand Total	20,807



Female officers led female only community meetings

1.2. Annex: Stakeholder Consultation/ Engagement

Based on YECRP experience, UNDP and its IPs will be conducted stakeholder consultation for Project and subprojects which called public consultations to ensure DO NO Harm, accountability and leave no one behind, as follows:

A. Stakeholder Consultation and Engagement (will be conducted between May June 2021)

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

Stakeholder input is required to inform the identification of risks and proposed management measures and cleared ESMF and SEP. Consultations with stakeholders should be utilized to broaden and discuss the range of options available to eliminate and reduce potential adverse social and environmental impacts. The local knowledge of directly affected stakeholders and other key stakeholders may help identify innovative approaches and make mitigation measures more effective. Consultation is also an essential tool for coming to agreement with project-affected stakeholders on the key measures to be adopted as well as on the design of benefits programs that are targeted and culturally appropriate. Stakeholder consultations should be utilized to verify whether the draft ESMF appropriately reflects concerns of project-affected groups and individuals.

Scope of Assignment and Tasks

The consultations on the ESMF will focus on IPs staff, local authorities, local beneficiaries and key actors at the local level from at least four representative governates in the Northern Yemen and three representative governorates in the southern region. The consultations carry out in North and South of Yemen and aim to:

- Ensures effective engagement and informed consultation of stakeholders in the drafting Environmental and Social Management Framework (ESMF),
- Ensures ownership and full participation of the stakeholders, by giving opportunities to discuss and get comments and recommendation from all ESPECRP's stakeholders.
- Ensures consultation is conducted in a gender-responsive, culturally sensitive, non-discriminatory, and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate
- Ensures all stakeholders will communicate their concerns and grievances during the project implementation.
- To adopt and discuss on a cleared ESMF SEP for ESPECRP.

Stakeholder Groups

Stakeholder representatives are:

1. Local Authorities and Community Committee (CC)
2. Female representatives and beneficiaries including women representatives with children under five years old and lactating women;
3. representative from PWP/SFD and SMEPS from HQ and Branch Offices who responsible for safeguard, GRM and gender/GBV.
4. Contactors form SFD, PWP and SMEPS;
5. Advantaged and disadvantaged groups that include Land/business owners on or adjacent to investment sites (if is relevant)

Arrangement for stakeholder consultation sessions:

1. It has been agreed that IPs nominate number of representatives from local authority and community committees or village councils as well as branch office staff who have been involved in YECRP (Male and Female) and considered from affected and interested and disadvantaged groups of ESPECRP. The stakeholder consultation sessions are planned to be conducted between end of May and June 2021, aiming to get the feedback on the new WB ESPECRP and its ESMF from the different groups of the beneficiaries. The stakeholder consultation will be held virtually and in person using several methods of telecommunication, mobile, WhatsApp and questionnaires be implemented at the same time one in north and one in the south. During these sessions, the stakeholders will be introduced to the new WB ESPECRP project and safeguard new procedures and requirements, GRM/ OHS and contracting procedures to get their feedback, information disclosure, Stakeholder Engagement Plan, Monitoring and Evaluation.
2. Selected participants will be divided into working groups to have focused group discussion to answer number of specific questions and get their feedback on the new project with consider using different methods of WhatsApp, telephone, and in person interview.
3. Local authorities would be consulted either through filling a questionnaire or phone calling if joining a virtual meeting is not applicable.
4. Representative form IPs safeguard, GRM and Gender specialist shall also participate in these consultations to identify gaps. Also, Group of contractors form IPs will participated and involved.
5. Women and female beneficiaries could be consulted through what's up group or any other possible mean.
6. Third Party Monitoring Firm will be selected to facilitate these sessions and draft the report.
7. The slide clarifying the number of representatives from each group shall be shared with IPs as well as the discussion questions.

B. Public Consultations and Engagement at Subprojects level

UNDP, SFD, PWP and SMEPS apply the same activities of the Public consultations with integrating to the new safeguard requirements for SEP, gender and GBV in the ESPECRP and detailed SEP in ESMP.

During the YECRP project implementation the partners apply different methods to ensure Public consultations, need assessment of the subproject, nominating the community committee with different representatives of the stakeholder groups, agreement on the community/ stakeholders meeting frequency with filed staff, using phone and WhatsApp for GRM related issues, information disclosure and engagement actively in community participatory monitoring.

Besides the partners provide awareness and capacity building to strengthen the stakeholders' capacity and knowledge to improve their livelihoods, community participation and rights to complains and participating fully in all subproject levels.

Women Safe Space and Youth network have been established in different governates as one of the best practices of YECRP and it will be continued to cover all governates during ESPECRP's implementation.