


















Danish support to UNICEF's Ethiopia WASH Programme 2021-2025

PROGRAMME DOCUMENT

SEPTEMBER 2021

Ingen tidligere forelæggelser for UPR

Support to UNICEF Ethiopia’s WASH Programme

<p>Key results:</p> <ul style="list-style-type: none"> - Increased equitable access to basic water and sanitation in rural, urban and refugee areas - Improve and create new climate resilient water schemes - Decreased practicing of open defecation in rural, urban and refugee areas - Increased WASH sector coordination and knowledge management in Ethiopia <p>Justification for support:</p> <ul style="list-style-type: none"> - Increased water access is a priority for Danish development aid and for Ethiopia’s long-term development plans - Implementation of climate resilient WASH, matches the Danish Government’s long-term strategy for global climate action - Water and sanitation are a central response tool for fighting the spread of COVID-19 - Targeting of inequalities in existing WASH services, especially gender equality - Targeting of WASH solution in the humanitarian-development-peace nexus, to reduce conflicts between refugees and local communities. <p>Major risks and challenges:</p> <ul style="list-style-type: none"> - The present conflict, the political, social and ethnic unrest and the dire humanitarian situation need to be monitored and adjusted accordingly - Planned intervention delayed due to COVID-19 - Entrenched existing hygiene behaviours - Duplication of existing activities in the WASH sector or failure to recognise synergies with other activities - Distribution of water access among beneficiaries, can risk to exacerbate local conflicts, ensuring the right distribution is therefore an important priority. 	File No.	2021-12663					
	Country	Ethiopia					
	Responsible Unit	Addis Ababa					
	Sector	WASH					
	Partner	UNICEF					
	DKK mill.	2021	2022	2023	2024	2025	Tot.
	Commitment	130.0	70.0	0	0	0	200.0
	Projected ann. disb.	5.91	52.81	55.09	62.56	23.63	200.0
	Duration	2021(Q4) - 2025(H1)					
	Previous grants	None for WASH					
	Finance Act code	06.34.01.40					
	Head of unit	Kira Smith Sindbjerg					
	Desk officer	Sebastian Rodas Medeiros					
	Reviewed by CFO	Jesper Clausen					
Relevant SDGs <i>[Maximum 1 – highlight with grey]</i>							
 1. NO POVERTY No Poverty	 2. ZERO HUNGER No Hunger	 3. GOOD HEALTH AND WELLBEING Good Health, Wellbeing	 4. QUALITY EDUCATION Quality Education	 5. GENDER EQUALITY Gender Equality	 6. CLEAN WATER AND SANITATION Clean Water, Sanitation		
 7. AFFORDABLE AND CLEAN ENERGY Affordable Clean Energy	 8. DECENT JOBS AND ECONOMIC GROWTH Decent Jobs, Econ. Growth	 9. INDUSTRY, INNOVATION AND INFRASTRUCTURE Industry, Innovation, Infrastructure	 10. REDUCED INEQUALITIES Reduced Inequalities	 11. SUSTAINABLE CITIES AND COMMUNITIES Sustainable Cities, Communities	 12. RESPONSIBLE CONSUMPTION & PRODUCTION Responsible Consumption & Production		
 13. CLIMATE ACTION Climate Action	 14. LIFE BELOW WATER Life below Water	 15. LIFE ON LAND Life on Land	 16. PEACE, JUSTICE, & STRONG INSTITUTIONS Peace, Justice, & Strong Inst.	 17. PARTNERSHIPS FOR GOALS Partnerships for Goals			

Strategic objectives:

By 2025, children and their families in rural, urban and refugee areas have increased equitable access to safe, affordable and sustainable, water and sanitation services and appropriate hygiene practices at household, community and institution levels.

Justification for choice of partner:

UNICEF Ethiopia has the capacity, experience, operational tools and resources to achieve the intended results. UNICEF is the GoE’s key partner in the development and implementation of its national One WASH strategy. UNICEF is present with offices in all regions in Ethiopia and has experience working in challenging settings, allowing for broad implementation and fast delivery, especially in harder-to-reach rural areas. Finally UNICEF provides experience in humanitarian settings and additional arms-length to the GoE, both important for cooperation under the current conflict in Ethiopia.

Summary:

The engagement will increase the population’s access to WASH services in Ethiopia in both rural, urban and refugee areas. Activities will focus on immediate needs, e.g., establishing WASH infrastructure, as well as longer-term activities, such as capacity-building of the WASH sector and hygiene behaviour changes. Activities will be designed with a focus on increasing equal access to basic water and sanitation while adopting a climate-resilient approach. In sum, the engagement emphasises sustainable WASH services to ensure durability after programme termination. The engagement contributes to Danish development cooperation priorities, the Ethiopian long-term development strategy as well as central SDGs.

Budget:

Outcome 1: WASH sector coordination and knowledge management	5.96 mill. DKK
Outcome 2: End open defecation	13.82 mill. DKK
Outcome 3: Rural WASH	77.53 mill. DKK
Outcome 4: Urban WASH and Refugees	38.97 mill. DKK
Unallocated and earmarked budget for outputs 3.3 & 3.4 and Emergency WASH	23.80 mill. DKK
UNICEF costs and fees	39.92 mill. DKK
Total	200 mill. DKK

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List of key abbreviations and selected terminology

AfDB	African Development Bank
CRGE	Climate-Resilient Green Economy strategy
CR	Climate Resilient
C40	C40 Cities Climate Leadership Group
DAC	OECD’s Development Assistance Committee
DAG	UNDP’s Development Assistance Group
Danida	Danish International Development Assistance, Ministry of Foreign Affairs
DSIF	Danida Sustainable Infrastructure Finance
FCDO	Foreign, Commonwealth & Development Office
GDP	Gross Domestic Product
GERD	Grand Ethiopian Renaissance Dam
GGGI	Global Green Growth Institute
GHG	Green House Gas
GoE	Government of Ethiopia
GTP	Growth and Transformation Plan
HRBA	Human Rights-based Approach
IDA	International Development Association (World Bank)
KOICA	Korean International Cooperation Agency
MFA	Ministry of Foreign Affairs of Denmark
MoE	Ministry of Education
MoF	Ministry of Finance
MoH	Ministry of Health
MoU	Memorandum of Understanding
MoWIE	Ministry of Water, Irrigation and Energy
MTR	Mid-Term Review
NCE	New Climate Economy
NDC	Nationally Determined Contributions
NWCO	National WASH Coordination Office
OECD	Organisation for Economic Co-operation and Development
OWNP	One Wash National Programme
P4G	Partnering for Green Growth and the Global Goals 2030
RDE	Royal Danish Embassy in Addis Ababa
SDG	Sustainable Development Goals
SDG 6	Ensure availability and sustainable management of water and sanitation for all
SSC	Strategic Sector Cooperation
SWAP	Sector-Wide Approach
RDE	Royal Danish Embassy in Addis Ababa
TOC	Theory of Change
TOR	Terms of reference
UNICEF	United Nation Children’s Fund
UPR	The Danish Council for Development Policy
WASH	Water Sanitation and Hygiene
WRM	Water Resource Management
WB	World Bank

1. Introduction

The present programme document outlines the background, rationale and justification, objectives and management arrangements for development cooperation regarding **Denmark's support to the UNICEF Ethiopia WASH Programme for 2021-2025** as agreed between the parties: UNICEF and the Embassy of Denmark in Addis Ababa.

Ethiopia faces many challenges in the water, sanitation and hygiene-area (WASH). In 2017, Ethiopia ranked 95th out of the 96 monitored countries in terms of safely managed water supply. In 2020 only 49,6% of the population had access to “at least basic drinking water services”, while only 9% of the population had access to “at least basic sanitation services”. Moreover, 17% of the population still defecates in the open, leading to significant hygiene and health implications¹. The many WASH challenges are also being exacerbated by other factors. First, the COVID-19 pandemic is still very present, stressing the needs for WASH for responding to the public health challenges. Secondly, Ethiopia has since November 2020 been affected by ongoing and severe conflict in Tigray, spreading into also Amhara and Afar in the northern part of the country. The conflict has fostered existing and comprehensive political tensions and mobilization along ethnic lines not only in the northern regions but across the country. The conflict has created massive conflict-induced displacement of civilians, extensive needs for humanitarian assistance and emergency WASH as well as reports of killing of civilians, sexual and gender based violence and human rights violations. The deterioration of the security situation will impact the implementation of this and other engagements, as access to some of the conflict affected areas becomes more challenging.

The many WASH challenges are being targeted by a set of policies under Ethiopia's One WASH National Programme (OWNP). OWNP is a sector wide and multi-sectoral approach for WASH program implementation monitoring, evidence generation and policy development, governed by four fundamental principles: harmonization, integration, alignment and partnership. UNICEF has been a key partner of the OWNP since 2013. The UNICEF Ethiopia WASH Programme 2020-2025 secures continued support to the OWNP in Ethiopia. The objective of the programme is to achieve the following outcome: “*By 2025, children and their families in rural, urban and refugee areas have equitable access to safe, affordable and sustainable water and sanitation services and appropriate hygiene practices at household, community and institution levels.*” Concretely, the programme will implement activities along four dimensions: 1) *Sector coordination and knowledge management*, 2) *End open defecation*, 3) *Rural WASH* and 4) *Urban WASH and refugees*. With these four WASH dimensions, the programme contributes to SDG 6 (Clean Water and Sanitation) and to Ethiopia's OWNP. The UNICEF Ethiopia WASH programme is supported by various donors and has a budget of approximately USD 110 million for the 2020-25 period².

It is in this context and in an effort to support Ethiopia's ongoing development and WASH needs, that the Danish Government has allocated DKK 200 million for supporting this programme³. Denmark's contribution will provide funding for the implementation of the broader 2020-2025 strategy but will also use earmarking to prioritize access to basic water services for at least 560,000 people and the implementation of new climate resilient WASH schemes in Ethiopia. The focus of this earmarking fits with the Danish development priorities around access to water as articulated in the Danish Minister for Development Cooperation's four-year strategy 2019-2023, and the focus of the new Danish Strategy for Development Cooperation, “The World We Share”. Included in the first objective within Climate, Nature and Environment of the new Danish strategy is the ensuring of new and improved access to water in Africa in rural and urban areas, including drinking water and sanitation.⁴ The focus on climate resilient WASH, also matches the greener development cooperation focus of the Danish Government's long-term strategy

¹ UNICEF and WHO Joint Monitoring Report 2020

² Donors overview in annex 5B

³ The Danish Government has allocated DKK 130 million to the UNICEF Ethiopia WASH programme under budget line 06.34.01.40 “Energy and water resources” being part of budget vote 06.34.01 “Natural resources, energy and climate changes in developing countries” of the Finance Act 2021. Additional DKK 70 million are allocated on the 2022 Finance Act (subject to parliamentary approval)

⁴ The Danish Strategy for Development Cooperation, “The World We Share”

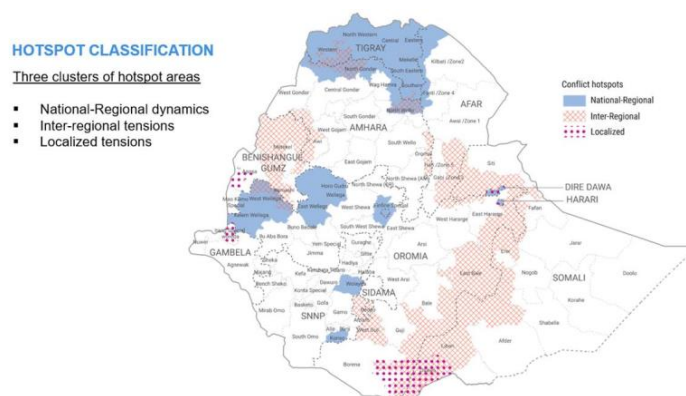
for global climate action.⁵ Finally, WASH is a central tool for combatting the spread of viruses, such as COVID-19. This programme will therefore also have a positive impact on health and will support Ethiopia’s response to COVID-19, which is also a development priority of the Danish Government for 2021.⁶

The ongoing conflict in Northern Ethiopia hinders progress and increases the risks for the implementation of WASH activities in the affected areas. By working with a multilateral and experienced partner like UNICEF, many of these risks will be mitigated. UNICEF has already secured national support and coordination in Ethiopia as key partner to the One WASH reform, but as a UN Agency they can also provide arm’s length distance such as ring-fencing the financial support. In addition to this UNICEF has large experience with WASH programmes also in conflict affected areas. The prioritization of activities and focus regions to be supported by Denmark has been developed in close collaboration with UNICEF Ethiopia in order to minimize and mitigate potential risks. In addition to this, the programme will continuously assess potential risks and identify possible ways to mitigate these by adapting to the security and humanitarian situation. Finally, 12 % of the Danish support is unallocated in order to enable a more adaptive management approach, as well as the possibility of providing increased support to humanitarian and emergency WASH activities where needed.

2. Context, strategic considerations, rationale and justification

2.1. Context

Ethiopia’s Tigray region has since November 2020 been affected by armed conflict between the Tigray People’s Liberation Front (TPLF) and federal and its allied regional forces. The conflict has since July 2021 spread into neighbouring regions of Amhara and Afar. The armed clashes as well as the insufficient amounts of aid being allowed into Tigray have created an extremely dire humanitarian situation in the region, where as of September 2021 5.2 million people in are need of humanitarian assistance, 2.1 million people has been internally displaced, and approximately 400,000 people are affected by famine (IPC level 5). Fighting in Afar and Amhara has led to increasing humanitarian needs and displacement also in those regions. Throughout the conflict, there has been numerous reports of human rights violations committed by all parties including killings of civilians and sexual and gender based violence. The conflict has increased existing political tensions and led to mobilization along ethnic lines not only in the northern regions but across the country, leading to a deteriorated security situation in Ethiopia at large with active fighting occurring in several regions, including Oromia, between armed members of different ethnic groups and federal and regional security forces. In particular, the increase in inter-communal violence along ethnic lines and regional borders, increased demands for regional and ethnic autonomy claims have caused widespread conflict-induced displacement and reports of human rights violations. Progress towards access to WASH is hindered by the conflict as the security situation creates difficulties in reaching the conflict affected areas of the country. However, a large need for improved access to WASH services remains, as well as an increased need for humanitarian and emergency WASH.



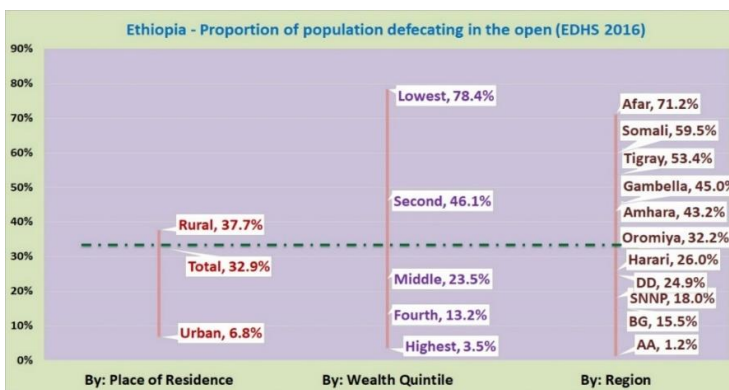
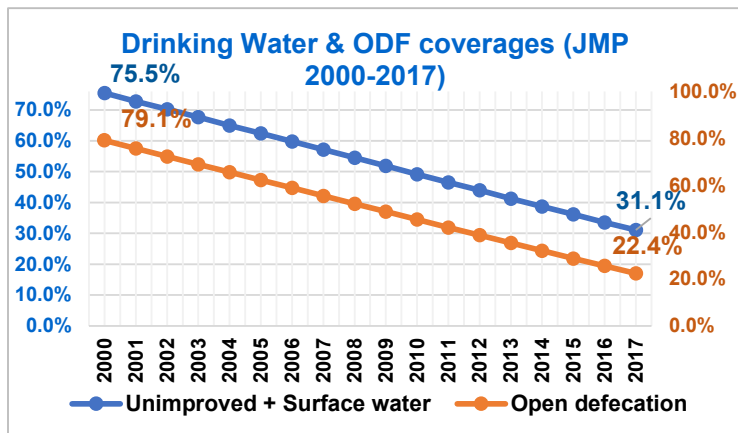
UNICEF WASH Ethiopia hotspot classification – September 2021

⁵ The Danish Government’s long-term strategy for global climate action ‘A Green and Sustainable World’ (2020)

⁶ The Danish Government’s Development Priorities for 2021

Over the last decade, Ethiopia has experienced significant economic growth and millions of people has been lifted out of poverty. Albeit this improvement, central development issues persist in the WASH area: the country faces continuous population growth with rapid urban growth, which are putting increasing pressure on the population’s access to WASH services. In addition to this, several challenges increase the complexity of WASH services in Ethiopia. First, gender inequality persists as women and girls are affected disproportionately by lack of WASH services. Second, more than 800,000 refugees live in Ethiopia and an assessment shows that only 8 out of 26 UNICEF supported refugee camps met the minimum standard for daily water supply (UNHCR data 2021). Conflicts, drought and floods are expected to further worsen these numbers. Third, WASH coverage remains low at schools and health care facilities affecting school performance and health treatments. Finally, humanitarian crisis and climate change are exacerbating the WASH challenges in the country.

Although the latest UNICEF and WHO Joint Monitoring Program (JMP, 2020) Report⁷ shows progress with access to ‘at least basic drinking water’ in Ethiopia, Ethiopia is still the second lowest among 96 countries in terms of safely managed water supply. Only 12,6% (39% in urban and 5,2% in rural areas) of people have access to a ‘safely managed water supply’, leaving around 22,3 million people still using unimproved water sources, which are assumed to be contaminated and dangerous to the health and well-being of the users.



The same report shows that access to ‘at least basic sanitation services’ for Ethiopia was 7% nationally (4% rural and 16% urban). Although considerable progress has been made to reduce the number of people defecating in the open in Ethiopia from 79 to 22% of the population, 20.4 million people still practice open defecation (21% for the rural population and 3% for the urban population). Open defecation also varies significantly by wealth quintile and by region as shown in the figure above. In addition to this, the prevalence of having

soap and water for handwashing at home is very low in Ethiopia, at 8% nationally (21% urban households, 4,8% rural households). Diarrhea disease remains the second leading cause of morbidity and mortality among children under the age of five, responsible for 13% of child deaths in Ethiopia.

Institutional WASH coverage in health facilities and in schools remains also low. According to Ethiopia’s OWNPN Phase II plan (November 2018), schools often have inadequate water and sanitation facilities. The lack of WASH facilities serves as a barrier to children’s attendance and performance in schools, particularly for female teachers

⁷ <https://washdata.org/data/household#!/table?geo0=country&geo1=ETH>

and female students. Complete WASH coverage in schools is estimated at 30%⁸. Only 35% of primary schools have safe water, and only 28% of schools have basic sanitation. Menstrual hygiene and health (MHH) facilities in schools facilitate the presence and attendance of female teachers and female students and contribute to girls' retention, learning outcomes and completion of school, to their health and hygiene, and to safeguarding. An estimated 15% of girls and young women have missed school because of menstruation⁹, and the drastic lack of facilities and items to safely manage it. Safe and clean WASH services are also important for reducing women's and girls' vulnerability to gender-based violence (GBV), when females often contend with both physical hardship and physical insecurity when trying to obtain water and practice sanitation and hygiene.

Finally, Ethiopia is also host to over 800,000 refugees. Interventions in the WASH sector need therefore also to support the WASH needs of refugees. A recent survey showed that in the country only eight camps met the minimum standard of 20 liters per person, per day. For sanitation, only 19 of the 26 camps met the minimum standards of a maximum of 20 persons per latrine.¹⁰

Access to enough clean water is also adversely affected by extreme weather events and significant intra and inter-annual variability of rainfall. Ethiopia's vulnerability to climate-induced hazards results in 6-8 million people needing emergency WASH services every year. Ethiopia has always faced periods of drought and flooding, but these are exacerbated by climate change and by pressures on natural resources from population growth. Climate-resilient WASH with a social cohesion lens needs therefore to be a priority area to ensure safe and accessible WASH services. The latest JPM 2020 report has stressed that implementation of SDG 6 targets is lacking behind a quadrupling of current rates of progress is needed for reaching the targets in 2030.¹¹

Summing up, Ethiopia is facing a broad range of issues in its WASH sector with projected population growth, climate changes, the COVID-19 pandemic and the current conflict in Northern Ethiopia. It is in an effort to support Ethiopia's ongoing development that the Danish Government has decided to support the UNICEF Ethiopia WASH Programme. Improvement of WASH services in Ethiopia will add to the Danish development and climate cooperation in Ethiopia, and contribute to move towards the achievement of the SDGs and especially SDG 6. It is further in line with the focus of the Danish Strategy for Development Cooperation "The World We Share" on providing access to water for the prevention of health crises and conflict.¹²

2.2. Strategic framework

WASH and the Ethiopian Policy Context

To target WASH challenges in Ethiopia, the GoE has launched a set of policies under its long-term development plan, Ethiopia 2030: Pathway to Prosperity. Ten Years Perspective Development Plan (2021 – 2030) as well as its One WASH National Programme (OWNP).

Ethiopia's Growth and Transformation Plans (GTPs) have guided its development efforts towards economic well-being and poverty eradication since 2010. Ethiopia launched the Growth and Development Plan II (GTP II) in 2015 to reach its target of becoming a low middle-income country by 2025. Under its strategic pillar of infrastructure development, GTP II outlines its ambitions for improving national access to water and sanitation. Specifically, with an aim of increasing rural water supply coverage from 59% in 2015 to 85% by 2020 and urban water supply from 51% to 75%.

Now, Ethiopia has launched its Ten Years Perspective Development Plan (2021 – 2030), where the second overall development outcome is that basic economic and social services such as food, clean water, shelter, health,

⁸ Sanitation Microplanning in Ethiopia: Baseline cost estimation to achieve the sanitation HSTP/GTP-2 and universal access (SDG) targets

⁹ Ministry of Health/FDRE. 2016. National Adolescent and Youth Health Strategy. (ORIGINAL SOURCE DATA: Tegene et. al, 2014).

¹⁰ UNHCR Ethiopia. 2019. Mid-Year Report January-June 2019 on Ethiopia Country Refugee response Plan 2019-2020

¹¹ UNICEF and WHO Joint Monitoring Report 2020

¹² The Danish Strategy on Development Cooperation, "The World We Share"

education, and other basic services should be accessible to every citizen regardless of their economic status. Additionally, its infrastructure development plan includes a focus on water resource development where the principal objectives are to ensure equitable provision and accessibility of potable water, sanitation and hygiene services that meet quality standards.

To achieve the goals of the GTP and now the Ten Years Perspective Development Plan (2021 – 2030) for the WASH sector, the One WASH National Programme (OWNP), in which UNICEF is a partner, was initiated in 2013. OWNP is a sector wide and multi-sectoral approach for WASH program implementation monitoring, evidence generation and policy development in Ethiopia, governed by four fundamental principles: harmonization, integration, alignment and partnership. It fits within the line of the Homegrown Economic Reform plan, which is part of the Ten Years Perspective Development Plan (2021-2030), where it is targeted that the country will follow a multi-sectoral growth approach and depend largely on the strong relationship and partnership with multilateral and bilateral development partners.¹³ Whereas GTP II only sets targets for water supply, OWNP sets targets, goals and strategic objectives for sanitation, hygiene and institutions. Thereby emphasising a broader approach to WASH activities. In addition, OWNP has been designed to centralise all coordination of public and donor activities under one programme. The Ten Years Perspective Development Plan (2021-3030) includes institutions and sanitation in the objectives of its water resources development plan, where it aims to provide potable water and sanitation services to all education and health facilities.

To finance the implementation of the OWNP, Ethiopia created a Consolidated Wash Account (CWA) in 2014, to work as a central mechanism for creating a more compressive and programmatic sector wide approach and consolidated WASH financing. The OWNP-CWA programme, in which UNICEF is also a key partner, advocates for one plan, one budget, one reporting system and one Consolidated WASH Account. OWNP-CWA Phase I (2014-19) was followed by the current OWNP-CWA Phase II (2019-24), which supports and adds to OWNP Phase II (2015-20). OWNP-CWA Phase II has adopted a sustainability approach by adding a climate resilience-dimension to the programme. The phase II approach aims to break the vicious cycle of vulnerable infrastructure affected by recurrent droughts in drought-prone areas of Ethiopia and create a virtuous circle of climate resilient water supply systems that provide safe and sustainable access to water to the communities living there, despite the anticipated negative impact of climate change in the region.

To reach the GTP II targets, OWNP CWA-Phase II (2019-24) has a programme budget of USD 6.5 billion and targets five key areas: Rural WASH (US\$1.367 billion); Urban WASH (US\$1.868 billion); Climate Resilient (CR) WASH (US\$2.489 billion); Institutional WASH (US\$0.833 billion); and Capacity Building and programme management (US\$0.301 billion). The Government of Ethiopia estimates that achieving the GTP II targets through the One WASH programme will lead to an additional 20.4 million rural and 5.6 million urban population as well as 16,026 primary schools, 1,788 high schools and secondary schools, 1,054 health centres and 7,253 health posts will gain access to safe drinking water and sanitation services. The Ten Years Perspective Development Plan (2021 – 2030), further support this development.

2.3 Lessons Learned from Previous and ongoing collaboration.

UNICEF has been engaged and played a central role in the development of GoE's OWNP strategy since 2013. UNICEF has therefore accumulated much experience with the implementation of WASH services in Ethiopia. The current WASH programme (2020-2025), is already creating results, in 2020 UNICEF WASH in Ethiopia achieved:

- 5.75 million people reached with hygiene promotion and handwashing materials
- 657,238 people provided with emergency WASH supplies and 18,875 people provided with emergency sanitation support
- Geohydrological mapping conducted in 39 woredas in drought affected areas
- City-wide durable WASH solutions provided to three towns and their satellite villages

¹³ 'The Homegrown Economic Reform' in the Ten Years Perspective Development Plan (2021-2030)

Besides their results, UNICEF Ethiopia has long time experience with WASH activities, and thus has many lessons learned to draw upon in planning and implementing.

A key lesson of past WASH services has been that the set up and capacity of water utilities to effectively manage the systems requires long-term investments and on-site support and capacity development that are long term; quick handovers do not build sustainability. Lessons learned have been identified in rural WASH-interventions, where water schemes' functionality rate was high, but faced challenges in terms of reliability, quality and quantity of the provided water services. The new WASH activities therefore need to ensure high construction quality as well as proper capacity-building. Another persisting challenge is long delays with foreign procurements and imports; and continued lack of Ethiopian production of WASH solutions. In a restrictive domestic foreign exchange market, UNICEF needs to carefully assess contractors and likely still directly undertake electromechanical procurement until these domestic pressures relax. This requires setting longer, more realistic durations for project completion.

Experiences also point to the utility of investing in climate-resilient WASH-services. An evaluation of UNICEF's WASH Programme 2012-2016 showed that moving from shallow water sources to ground water sources will increase the resilience to drought. Methods of groundwater mapping and multi-village management schemes are therefore now being adopted. Groundwater suitability mapping inspired by UNICEF-pioneered satellite remote sensing technology has been completed for 39 woredas and detailed geophysical siting of boreholes carried out in 16 sites identified by the suitability maps and prioritized by local authorities and communities. In the 2020-2025 programme, this new information will be applied for more cost-effective water drilling and system installation and additional woredas will be mapped through the remote sensing technology. In addition, an evaluation of the first phase of the GoE's OWNPN highlighted the utility of investing in climate resilient services to ensure long-term sustainability. While sustainable solutions such as solar-driven water pumps are more expensive in the short-run, they drive down the longer-term operational costs of water schemes, ensuring lower prices for end users. Finally, the UNICEF Discussion Paper of WASH interventions 2021 highlights the need to link town systems to satellite villages to ensure reliable and equitable distribution.

In terms of knowledge promotion and behaviour change, UNICEF will draw on experiences from its country programme 2016-2020. Here, rural areas were reached with innovative communications methods including distribution of solar powered radios, broadcasting of radio mini-dramas, and the creation of 'listening groups' in nine woredas using materials developed in six Ethiopian languages. Concerning sanitation promotion, a Rural WASH evaluation has suggested to stimulate sanitation and hygiene messaging which go beyond conveying knowledge, to more aspirational promotion of construction of latrines of higher standard. Furthermore, although the Gender Programming Review of the programme ending in June 2020 found that the WASH programme was significant in gender responsive programming, it also recommended that men and boys should be involved in community and household communication activities. Boys and male teachers should also be involved in teaching on menstrual health and hygiene. This approach will increase knowledge and understanding, encourage male involvement and foster supportive attitudes and perhaps relieve women of some burdens.

Since the beginning of the new UNICEF WASH country programme period (June 2020), the challenge of COVID-19 and its consequences has been an issue at several levels. For example, the GoE has had more limited resources to focus on programmatic issues, such as the roll-out of the ODF campaign, and some of the planned implementations could not continue, particularly those related to schools, as all schools were fully closed between March and October 2020. Despite these challenges, including ongoing security issues in various regions of the country, much has been achieved and gradually, there is a return to regular work patterns. The pandemic has in many ways also been an opportunity for WASH, for example the additional focus on handwashing, which has led to the development of a Hand Hygiene for All Coalition, with a roadmap developed to achieve national hand hygiene coverage incorporated into the sanitation campaign.

Finally, this year's evaluation of UNICEF's global WASH activities in protracted crises pointed to several lessons learned. A key lesson is the need to ensure equity and inclusion in the access to WASH services, where disaggregated data on access can provide useful insights. Furthermore, the evaluation highlights the need to ensure that humanitarian and development programming are linked in both programme planning and implementation. Another evaluation of UNICEF's work to link the humanitarian and development nexus showed this year that

UNICEF has been able to create good results and that there is broad support for further developing the work with the humanitarian-development-peace nexus¹⁴. Although these results are positive, the current conflict in Ethiopia potentially could develop into a longer-term protracted crisis, it is therefore highly important that UNICEF and the RDE consider these elements ongoing, in order to mitigate risks and respond accordingly.¹⁵

2.4 Rational and justification to support the UNICEF WASH Programme

Coherence with Danish Development Aid Priorities

The Embassy of Denmark in Addis Ababa has identified the UNICEF Ethiopia WASH Programme, as a relevant significant program for delivering on the WASH needs in Ethiopia, as well as for delivering on a range of Danish priorities, such as contributing to SDG 6 and especially to increasing access to water for populations in Africa and help combatting the spread of the COVID-19 pandemic.¹⁶

Increased water access: This programme is expected to provide access to basic water services to at least 560,000 people in Ethiopia, mainly in rural areas, but also in urban and refugee settings¹⁷, contributing to the implementation of Ethiopian government's OWNP. Access to basic water services will be created by improving existing water schemes and creating new water schemes. The improved water services entail both an upgrade to climate-resilient services as well as an expansion of access to increase the number of people using the existing water supply. Such development in access to water is a key priority for Denmark. The Danish Government's long-term strategy for global climate action 'A Green and Sustainable World' (2020) specifically calls for Denmark's development cooperation to have a special focus on ensuring access to clean water in Africa. The new Danish strategy for Development Cooperation "The World We Share" has the same strong focus on water access and sanitation included in the plan's first objective within Climate, Nature and Environment. Finally, the Danish Minister for Development Cooperation's four-year strategy 2019-2023 has set a target for providing access to water for 5.8 million people in Africa.

Climate Resilience: Climate resilient WASH solutions will be implemented along two dimensions: climate adaptation and climate mitigation. Climate adaptation methods include ground water mapping to identify deep water resources resilient to droughts and Water Safety Plans developed for all schemes to ensure sustainable usage of water and reduce the negative risks of flooding. Climate mitigation methods include electrified systems and solar driven water pumps to reduce the use of fossil fuel driven generators. The climate resilient solutions will be implemented under the activities of Rural Wash and Urban and Refugee WASH, which will receive a larger percentage of the funding and therewith prioritized by the Danish support. This fits very well with the Danish Government's long-term strategy for global climate action 'A Green and Sustainable World' (2020), both in terms of access to water and in terms of greener development cooperation. Additionally, it is in line with the new Danish Strategy for Development Cooperation "The World We Share" which includes an increased support to climate adaptation and local resilience in its first objective within Climate, Nature and Environment.¹⁸

Refugee response: UNICEF Ethiopia works closely with UNHCR every year to provide water supply services to refugees. UNICEF's refugee response focuses on improving water service levels that benefit both refugees and host communities, and enhance their coexistence. This approach fits well with the humanitarian-development-peace nexus by making humanitarian, development and peace realms work more cohesively together, capitalizing on their respective comparative advantages. In addition to this, WASH solutions are important for reducing climate related conflicts, which could displace more people and create new migration flows which is also a key priority in the new Danish Strategy for Development Cooperation, "The World We Share", where conflict and displacement will be prevented in the intersection between climate and security, for instance within water engagements.

¹⁴ Formative Evaluation of UNICEF Work to Link Humanitarian and Development Programming (March 2021)

¹⁵ Evaluation of UNICEF WASH programming in protracted crises 2014-2019

¹⁶ The identification phase of the support for this programme has been speeded up due to the need for rapid response to COVID-19 and an effective and prompt support to WASH in Ethiopia. By choosing to contribute to an already existing programme, Denmark support will be able to generate a rapid and significant response.

¹⁷ Basic water services are defined as: Improved or new facility within 30 minutes round trip collection time (JMP 2019)

¹⁸ The Danish Strategy for Development Cooperation, "The World We Share"

Children and youth: This programme will provide access to WASH to children and their families in rural, urban and refugee areas. By providing access to WASH, the programme will positively affect their health and especially reduce the risk for the most vulnerable children, those under five years. It will also reduce the burden of water collection which especially affects many children, enabling better opportunities for their growth and education. Providing opportunities for a better future for children and youth, especially for youth in Africa is also a priority of the Danish Strategy for Development Cooperation “The World We Share”.

Gender equality: UNICEF uses a gender-sensitive lens for improving WASH services. In rural and refugee settings, this programme will increase the number of safe and private access to latrines, as well as the number and location of water points located in accessible and safe areas in order to reduce gender-based violence (GBV) when females try to obtain water and practice sanitation and hygiene. In addition to this, the programme will support institutional WASH initiatives in order to improve water and sanitation services at schools and hospitals and provided MHH in order to reduce gender issues such as adolescent girls’ school absence because of menstruation. This focus fits well within the new Danish Strategy for Development Cooperation “The World We Share” where the first objective within Democracy and Human Rights is to secure access to health services with a focus on marginalised groups, women, children and youth.

Global health and COVID-19 response: Finally, WASH plays a central role in infection prevention, and it is thus a central tool for strengthening health systems and for responding to the COVID-19 pandemic. In light of COVID-19, Denmark is supporting global health cooperation and especially climate resilient solutions in line with the *Building Back Better and Greener* approach. Especially solidarity and support to the healthcare systems in Africa is a part of the Danish government’s development priorities for 2021.¹⁹ This is also in line with the new Danish Strategy for Development Cooperation, “The World We Share”, where access to water is considered key to the prevention of health crises.

A focused multilateral cooperation: By supporting the Ethiopian One WASH agenda through UNICEF, Denmark supports an existing and ambitious WASH programme. Besides providing support to a trusted multilateral partner like UNICEF, creating links to the Danish bilateral engagement, the direct support to this specific programme, secure a focused approach that matches Denmark’s development priorities, as mentioned above. Especially meeting the SDGs in cooperation with partners is part of the new Danish Strategy for Development Cooperation, “The World We Share”. Working with UNICEF will also provide a ring-fencing of the financial support and arm’s length, enabling a better mitigation of risks.

Enhancing the Danish Climate cooperation with Ethiopia

Besides the overall Danish priorities, the WASH programme will contribute significantly to the bilateral cooperation between Denmark and Ethiopia, and fit well in the RDE green frontline mission portfolio.

Since 2017, Ethiopia has been a priority country for Danish Development Aid and through its 2018-22 country programme, Denmark is already engaged in improving climate resilient livelihood, food security and democratic governance. The new country programme in 2022 is expected to have an increasing focus on climate and migration, which will fit well with this UNICEF WASH programme.

In 2020, the embassy in Addis Ababa was chosen as one of Denmark’s new green frontline missions emphasising a deeper focus on promoting green Danish solutions in the country. Denmark has already developed a strong technical partnership with Ethiopia in the energy sector. By engaging in the WASH-sector, Denmark will broaden its sustainable engagement in Ethiopia into a new sector, directly targeting water and sanitation issues under SDG 6 upon the request by the Ethiopian minister for Water, Irrigation and Energy. In addition to this, WASH activities under this programme will be implemented with an increased focus on climate resilience, in line with the sustainability and climate resilience dimension of the GoE’s OWN-P-CWA Phase II.

¹⁹ Danish development priorities as articulated in the Danish Minister for Development Cooperation’s four-year strategy 2019-2023, the Danish Government’s Development Priorities for 2021, and the Danish Strategy for Development Cooperation, “The World We Share”.

Concretely, a new strategic sector cooperation (SSC) programme on water is being developed. The SSC will enable capacity building between the Danish Environmental Protection Agency and Ethiopia's Ministry of Water, Irrigation and Energy (MoWIE). The specific scope of the cooperation is being developed during the current inception phase, but it will entail a strategic focus on SDG 6. The UNICEF WASH Programme will play an important role for establishing the initial fundament for this Danish-Ethiopian strategic sector cooperation. First, the engagement with UNICEF WASH in Ethiopia strengthens the Embassy's experience and exposure with WASH activities in Ethiopia. The learnings of this cooperation will be integrated in the inception phase of the SSC on water, in order to use them for identifying potential gaps and synergies for the final scope of the SSC. The SSC is also expected to engage with water supply, in the form of groundwater resources and water utilities in rural towns. By engaging with UNICEF on the WASH programme, the RDE will be able to bridge good results and best cases within water supplies and groundwater resources into new activities in Ethiopia and enable knowledge sharing and capacity building at MoWIE. Secondly, UNICEF is a key player in the WASH ecosystem and a key implementing partner of the ONE WASH strategy with the GoE. The engagement with UNICEF will thus strengthen the Danish Embassy's exposure in the WASH ecosystem and enable it to integrate central coordination mechanisms, such as the DAG water sector working group on WASH. The development of expertise and a strong network within SDG 6 in Ethiopia will be key for securing a strong water cooperation with Ethiopia and the implementation of the water SSC.

Both programmes, the SSC and the support to UNICEF Ethiopia WASH programme, will have a strong focus on climate resilient solutions and how Danish solutions can enable this. Together these multi- and bilateral activities will all contribute to Denmark's global strategy, "A Green and Sustainable World" that aims at merging Danish climate change action with sustainable development. In addition, these partnerships have the potential to contribute to green exports, growth and employment in Denmark as Danish companies have strongholds in water and green solutions.

Summing up, supporting the UNICEF's WASH Programme fits perfectly with Denmark's development priorities.²⁰ It will contribute to global SDG 6 efforts through a lens of climate resilience and will support Ethiopia's national development plans. Finally, it will broaden Denmark's climate engagement in one of its priority countries and green frontline missions. A programme justification based on the OECD DAC criteria can also be found under Annexe 1²¹

2.5 Relation to other relevant partners and key stakeholder

This programme will be aligned to the policies, strategies and plans of the Ethiopian government under its One WASH strategy. UNICEF's main partners are MoWIE, MoH and MoE, which are jointly leading the national sector wide WASH-approach under the OWNP. MoWIE will coordinate water supply and urban sanitation, MoH will coordinate all aspects of health care including hygiene, environmental health, rural sanitation and WASH in health care facilities, while MoE will coordinate education at all levels including WASH and the Menstrual Hygiene and Health-programme in schools. In addition to the abovementioned ministries, the Ministries of Urban Development and Construction as well as Finance will be key stakeholders of the programme. These five ministries will take the lead role on coordination, implementation and monitoring as well as evaluation of public awareness campaigns, including cost sharing of the project. At the regional level, the Regional Administration and Technical Bureaus will be involved in the project implementation and selection of project locations. These selections will be based on vulnerabilities with a strong focus on equity.

²⁰ Danish development priorities as articulated in the Danish Minister For Development Cooperation's four-year strategy 2019-2023, the Danish Government's Development Priorities for 2021, and the Danish Strategy for Development Cooperation, "The World We Share".

²¹ Justification for Danish support to the proposed programme in relation to the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) Criteria. The OECD DAC has defined six evaluation criteria, which serve as the reference frame for evaluating international cooperation projects and programmes and which are also a useful reference for the justification of the programme, as reflected in the table below.

UNICEF will continue to contribute to the sector pool fund through the Consolidated WASH Account (CWA) together with the World Bank, African Development Bank, FCDO, KOICA, Government of Finland, among others, while also coordinating the activities of the DAG water sector-working group. The World Bank and the AfDB are also key implementing partners of the OWNP, this engagement with UNICEF WASH will therefore also increase the RDE engagement with the WB and AfDB at the local level. Denmark is already engaging with both organization at the international level, providing specific funding for the WB engagement with water within IDA, and the AfDB's African Water Facility which is amongst other implementing water solution in Ethiopia.

UNICEF is also supporting the efficiency of the Water Sector Working Group (WSWG)-Secretariat, the NWCO and the Development Assistance Group WASH Working Group, the Joint Technical Review (JTR) and the Multi Stakeholder Forums (MSF). In order to generate most impact from this engagement and in order to build the needed network for the upcoming SSC on water, the RDE will also join the DAG WASH and Water Resource Management Working Groups.

3. Programme objectives and outcomes

3.1 UNICEF Ethiopia WASH Programme

UNICEF's current country programme in Ethiopia (2020-2025) has six components²² with WASH constituting the fifth component. The WASH-component follows UNICEF's global WASH 2016-30 strategy of supporting governments to ensure access to basic WASH services for all children. UNICEF is supporting the Government of Ethiopia to increase the number of people with access to basic water and sanitation services, by strengthening service delivery, utility management, and an enabling environment.

The UNICEF Ethiopia WASH programme's objective is: *“By 2025, children and their families in rural, urban and refugee areas have increased equitable access to safe, affordable and sustainable water and sanitation services and appropriate hygiene practices at household, community and institution levels”*.

Concretely, the programme will implement activities along four dimensions:

- 1) *Sector coordination and knowledge management*, where UNICEF will strengthen the enabling environment under OWNP.
- 2) *End open defecation*, which has been selected as one of UNICEF's four flagship results for its current country programme.
- 3) *Rural WASH*, where UNICEF will support the provision of equitable access to basic inclusive WASH services in rural areas, including in humanitarian situations.
- 4) *Urban WASH and refugees*, which has two sub-dimensions. First, supporting the provision of equitable access to basic inclusive WASH services in urban areas, including in humanitarian situations. Second, to create WASH durable interventions for refugees and host communities.

A fifth dimension can be added to the programme for responding to potential emergency WASH needs, based on adaptive management if agreed by the PMU:

- 5) *Emergency WASH*, WASH humanitarian services will be provided to emergency affected people including water supply and emergency sanitation and hygiene.²³

3.2 DANIDA support to UNICEF WASH programme

Denmark will support the UNICEF Ethiopia WASH Programme with DKK 200 million in order to increase basic access to WASH services in Ethiopia by 2025²⁴.

²² The other five being: 1) Child Protection, 2) Health, 3) Learning and Development, 4) Nutrition and 5) Social policy, evaluation and research.

²³ The results framework on Emergency WASH is specified in annex 6

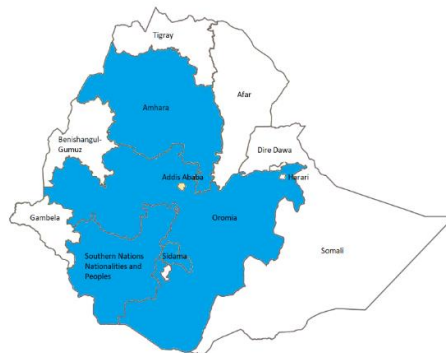
²⁴ DKK 130 million have been allocated to the UNICEF's WASH Programme in Ethiopia on the Finance Act 2021. Additional DKK 70 million are expected to be allocated on the 2022 Finance Act (subject to parliamentary approval).

A bilateral agreement between UNICEF and Denmark will ensure that Denmark’s support is based on a specific budget and result framework, which will enable transparency and consistent monitoring and reporting of the programme progress. This will also reduce the institutional risks related to funding of the overall UNICEF WASH strategy. UNICEF expects to be able to reach the target of USD 110 million for the overall project, and that current donors will keep their support. But by working with a bilateral engagement, Denmark will secure that the funding to this programme is based on a clear and specific budget and results framework that does not need additional financial support from other donors.

Denmark will support the programme broadly and contribute to all of the four outcomes. In doing so, the support will in the best possible way adhere to the Danish priorities, cf. above. Furthermore, this approach will play a key role in securing the implementation of the UNICEF Ethiopia WASH programmes strategy (2020-25), in order to support the Government of Ethiopia’s OWP and thus increase the number of people with access to basic water and sanitation services in Ethiopia. Although Denmark’s support will cover the programme broadly, important implementing principles like earmarking and adaptive management will be used to secure a strategic funding of the programme and reflect central priorities – both in Ethiopia and more generally for Danish development cooperation. Adaptive management will allow for flexible allocation during the project implementation. In this way, the Danish contribution will support the overall UNICEF framework, but will also prioritize strategic areas and enable a flexible response to possible changes to achieve measurable and better results.

In order to secure best fit with Danish priorities and measurable results, earmarking will prioritize Rural WASH and Urban and Refugee WASH (outcomes 3 and 4). These areas will be prioritized, because they are the outcomes with the potential for biggest direct impact on water access and sanitation and create the most measurable results. In addition to this, both components target climate resilient water and sanitation service delivery, as well as hygiene promotion and behavioural change, including Menstrual Hygiene Health in Schools. Such prioritization of access to water, climate resilience and gender equality reflect the Danish development priorities, cf. above.

Rural WASH will receive a larger portion of funding (39% of funding). This prioritization is based on the larger comparative potential of providing access to water through Rural WASH. First, the demographics of Ethiopia, with large rural representation and a larger gap with regards to access to WASH in rural areas, creates a huge potential for the support of rural WASH. Secondly, there is currently an unequal focus from other donors on urban and refugee WASH and a smaller support to rural WASH, creating an opportunity gap for supporting rural WASH in the programme. Such a prioritization will enable a better investment on access to water in Ethiopia, and will provide basic access to water to 500,000 persons, contributing to the Danish development objective of providing access to water to 5.8 million people in Sub-Saharan Africa.²⁵ The engagement in rural WASH will focus on four regions where UNICEF is already currently working and where feasibility studies have been conducted. These will be Amhara, Oromia, SNNPR and Sidama. The specific selection of zones, woredas and projects will take place during the inception phase.



Selected regions for Danish support to Rural WASH under UNICEF WASH Ethiopia

²⁵ The Danish Minister For Development Cooperation’s four-year strategy 2019-2023

While rural WASH will receive most of the funding, urban and refugee WASH will also be prioritized (20% of funding). By supporting densely populated urban areas, this outcome will also increase the number of recipients of access to WASH and provide basic access to water to around 60,000 additional persons. In addition to increasing Self-Reliance services for refugees and host communities, this outcome also matches Danish priorities for migration and refugee response. The engagement in urban and refugee WASH will focus on two cities and one refugee camp where UNICEF is already currently working, where feasibility studies have been conducted, and where UNICEF has worked together with KfW. The final selection will take place during the inception phase, but the assessment will seek to prioritize existing projects where KfW has been engaged, and where the humanitarian and financial needs are highest.

While outcomes 3 and 4 will receive priority, Denmark will also support outcome 1 and 2, which are important pillars of the programme and key for increasing access to WASH. In this way, Denmark will be a strong strategic partner within WASH in Ethiopia and secure that the Danish contribution targets Danish priorities. By supporting outcome 2) Ending open defecation (7% of funding), Denmark will secure needed funding for UNICEF’s flagship project and measurable results such as an increase in the number of women, men, girls and boys with access to basic sanitation services. Eliminating open defecation will furthermore prevent contamination of surface and groundwater and this outcome is therefore central for providing safe and clean water access under outcome 3 and 4. Finally, capacity building will be covered through outcome 1) Sector coordination and knowledge management, which will receive 3% of funding. Capacity-building of the water sector is a vital step to create the strategic framework for providing long-term WASH services in Ethiopia and will thereby affect the success of the three other outcomes. The lower allocation to sector coordination under outcome 1 is also based on the financial needs of UNICEF, which has already covered the largest part of the budget needed for that outcome.

By supporting this programme, Denmark will contribute to (more details in Annexe 1):

- The Sustainable Development Goals (SDGs), especially SDG 6; targets 6.1 and 6.2²⁶
- The Government of Ethiopia’s reform agenda:
 - o Ten Years Perspective Development Plan (2021-2030) and Home Home-grown Economic Agenda²⁷;
 - o Ethiopia’s One WASH national programme
 - o Health Sector Transformation Plan
 - o Ethiopian refugee policy and global compacts on refugees and migrants
- Denmark’s Strategy for Development Cooperation²⁸:
 - o Increased access to WASH in Africa, amongst other in Ethiopia
 - o Climate change mitigation through climate resilient WASH solutions
 - o Coherent humanitarian-development-peace nexus
 - o Promote gender equality by tackling gender issues in WASH and MHH
 - o COVID-19 response and solidarity with the healthcare needs in Africa
 - o Capacity building and coordination for WASH

Table 3.2 – Denmark’s support to the UNICEF Ethiopia WASH Objective and Outcomes

Programme ²⁹	Danish support to UNICEF Ethiopia WASH Programme
Programme Objective	By 2025, children and their families in rural, urban and refugee areas have increased equitable access to safe, affordable and sustainable water and sanitation services and appropriate hygiene practices at household, community and institution levels.

²⁶ WASH refers to provision of safe water supplies, sanitation and hygiene behaviour change. Whilst WASH contributes to all the SDGs, for the purposes of brevity in this document we refer only to SDG 6.

²⁷ Ethiopia’s Ten Years Perspective Development Plan (2021-2030) and three-year implementation plan, the Homegrown Economic Agenda

²⁸ Danish development priorities as articulated in the Danish Minister for Development Cooperation’s four-year strategy 2019-2023, the Danish Government’s Development Priorities for 2021, and the Danish Strategy for Development Cooperation, “The World We Share”.

²⁹ See Ch. 7. Budget for further clarification.

Outcome 1 (earmarking: 3% of total funding)	WASH sector coordination and knowledge management; Ethiopia’s National and Regional government mechanisms and systems are strengthened to legislate, plan, coordinate and budget for gender responsive, equitable, inclusive, resilient and safely managed WASH services in development and humanitarian situations.
Outcome 2 (earmarking: 7% of total funding)	End open defecation; By supporting end of open defecation, Denmark will support a key component for WASH, and a flag ship project under the UNICEF Ethiopia WASH programme. This component is lacking funding, but plays a central role for increasing access to basic WASH, as it helps prevent the pollution of surfaces and groundwater and has a direct role in increasing sanitation and access to water.
Outcome 3 (earmarking: 39% of total funding)	Rural WASH; children and families in rural areas have increased equitable access to basic, inclusive and climate resilient WASH services, including in humanitarian situations.
Outcome 4 (earmarking: 20% of total funding)	Urban WASH and Refugees; children and families in urban areas have increased equitable access to basic, inclusive and climate resilient WASH services including in humanitarian situations. WASH-durable interventions have been implemented for refugee and host communities. ³⁰
Unallocated funds: (earmarking: 12% of total funding)	Unallocated: These funds will be allocated following the adaptive management principles depending on the needs of the programme. They are earmarked to Emergency WASH activities ³¹ , and/or further needs under Outcome 3 and Outcome 4.

4. Theory of Change

The overall theory of change (ToC) can be described in the following steps:

If national and regional government mechanisms and systems are strengthened to legislate, plan, coordinate and budget for gender responsive, inclusive, safely managed water and sanitation services in development and humanitarian situations, and

If duty bearers have enhanced capacity to support children, families and institutions serving children, for equitable use of basic and safe water and sanitation services and appropriate hygienic practices and

If children, families, their communities and community schools, health facilities and other institutions for children, which are affected by conflict and other hazards, are supported to adopt positive social norms and WASH practices, including preparing for and being resilient to climate induced shocks and other emergencies,

Then: Government will progressively provide equitable access to safe, affordable and sustainable water and sanitation services and people in Ethiopia will have appropriate hygiene practices in households, in communities and in institutions (learning centres, schools and health facilities) in rural and urban areas in both development and humanitarian situations.

The theory of change is graphically illustrated in figure 4.1 below. Explanatory notes to the figure can be found in Annexe 3.C (Explanatory Notes to the ToC Figure). Furthermore, a detailed description of UNICEF’s planned activities can be found in Annexe 3.D (Overview of Activities under each Outcome).

³⁰ WASH interventions in urban and refugee areas have been pooled under the same outcome replicating UNICEF’s result framework. The reason is that refugee interventions will focus on both refugee areas and their host communities and that these interventions will resemble activities implemented in urban areas.

³¹ The results framework of Emergency WASH is specified in annex 6

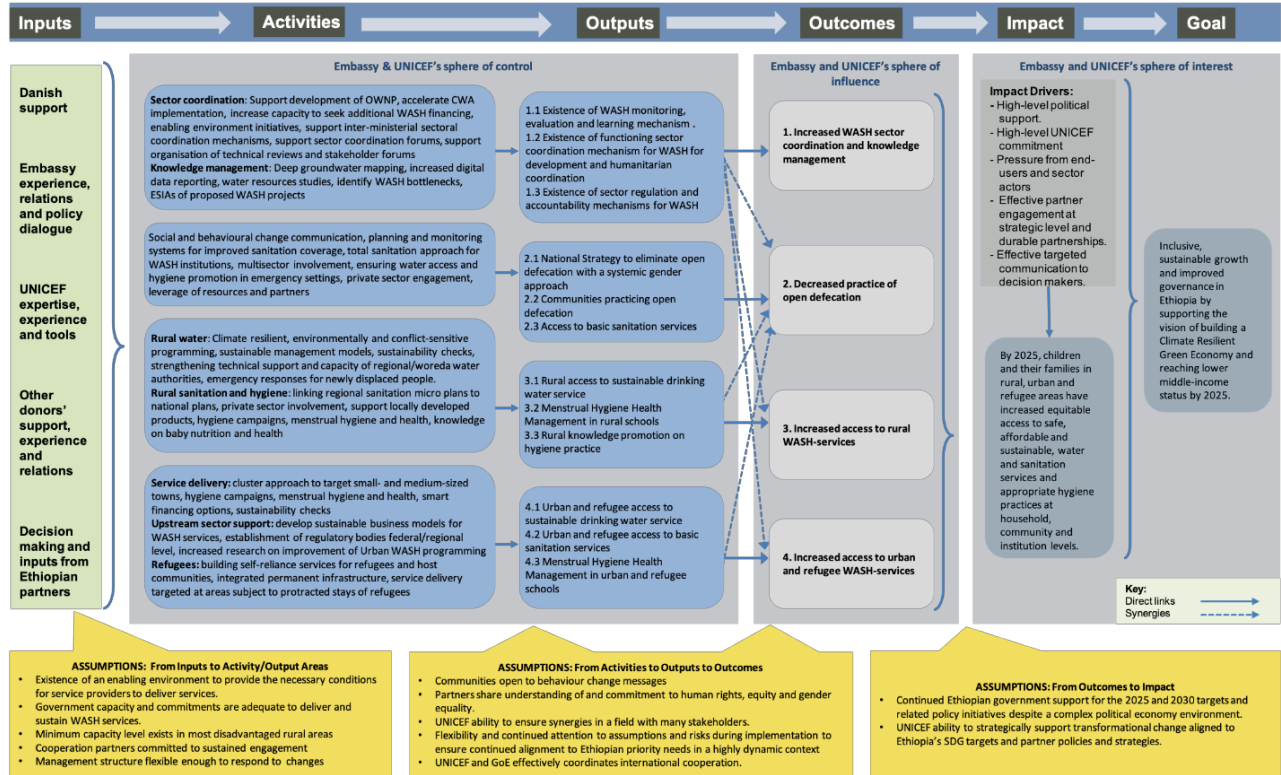


Figure 4.1 – Theory of Change

5. Summary Results Framework³²

In order to reflect the Danish prioritisation through earmarking and the use of adaptive management within the UNICEF WASH programme, a unique results framework based on specific target indicators has been developed. The main design and framework have been established in collaboration with UNICEF, based on their needs and Danish strategic priorities. Besides the earmarking within the four different outcomes, previously explained four regions, two towns and a refugee camp, have been pre-selected for the activities. However, the results framework will be revised during the inception phase, i.e. in the first three months of the programme implementation period. The inception phase will establish a detailed implementation plan for the Danish support to UNICEF's WASH programme that secures achievement of the outcomes of the Danish support, including a construction period for infrastructure, handing over and guarantee inspections within the program period ending in 2025. The inception will also provide a risk assessment of the chosen regions in order to make sure that the implementation, monitoring and reporting of these activities will be realist and feasible and reduce the risk related to the current conflict in the country.

³² Baseline and indicator targets will be finalized during the inception phase, therefore marked with "TBD".

Summary Results Framework – UNICEF WASH Ethiopia

Programme		Danish support to UNICEF Ethiopia's WASH programme	
Programme Objective		By 2025, children and their families in rural, urban and refugee areas have increased equitable access to safe, affordable and sustainable water and sanitation services and appropriate hygiene practices at household, community and institution levels	
Impact Indicator		Proportion of population using basic water service (2019: 41% to 2025: 65%) Proportion of the population using basic sanitation service (2019: 7% to 2025: 35%) Proportion of the population practicing open defecation (2019: 22% to 2025: 10%)	
Baseline	Year	2021	TBD during the inception phase
Target	Year	2025	a. 65% b. 35% c. 10%

Project Title 1		WASH sector coordination and knowledge management	
Outcome 1		By 2025, Ethiopia's National and Regional government mechanisms and systems are strengthened to legislate, plan, coordinate and budget for gender responsive, equitable, inclusive, resilient and safely managed WASH services in development and humanitarian situations.	
Outcome indicator		a. WASH Policies in place b. regulatory frameworks functioning c. adequacy of funding for WASH services provided	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	TBD
Output 1.1		Existence of WASH sector monitoring, evaluation and learning mechanism	
Output indicator (woreda level)		a. No. of woredas with proper management systems for WASH activities and results. b. No. of woredas with WASH baseline data.	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 52 b. 52
Output 1.2		Existence of functioning sector coordination mechanism for WASH for development and humanitarian coordination.	
Output indicator (national level)		a. No. of regions with regular sector coordination mechanisms b. No. of WASH sector coordination forums at national level	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 9 b. 15
Output 1.3		Existence of sector regulation and accountability mechanisms for WASH.	
Output indicator (national level)		a. No. of WASH sector working groups established/revitalized and functional. b. No. of Annual reports and study documents published.	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 36 b. 7

Project Title 2		End open defecation	
Outcome 2		By 2025, communities (Kebeles) in all parts of the country have increased capacity to end open defecation, practice appropriate hygienic behaviour (HWWS) and use basic inclusive and gender responsive sanitation service	
Outcome indicator		Proportion of the population practicing open defecation	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	10%
Output 2.1		Communities practicing open defecation	
Output indicator		a. No. of National campaigns launched and sustained. b. No. of Regional campaigns. c. No. of communities certified free of open defecation.	
Baseline	Year	2021	a. 0 b. 0 c. 0
Target	Year 6	2025 (Jan-June)	a. 3 b. 27 c. 572
Output 2.2		Access to basic sanitation services	
Output indicator		a. No. of HHs who gained access to basic sanitation services. b. No. of sanitation facilities constructed in areas where there is minimum/no risk of flooding and/or constructed with flood protection structures that can protect extreme flood (CR). c. Proportion of latrines constructed with maximized safety, privacy, and dignity of women (GBV). d. No. of HHs who are provided with necessary materials and technical support to construct their own improved latrine.	
Baseline	Year	2021	a. 0 b. 0 c. 0

Target	Year 6	2025 (Jan-June)	d. 0 a. 137,280 b. 109,824 c. 123,552 d. 64,522
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Project Title 3		Rural WASH	
Outcome 3		By 2025, children and families in rural areas have increased equitable access to basic, inclusive and climate resilient WASH services, including in humanitarian situations.	
Outcome indicator		Number of rural households (adults and children) practising appropriate WASH standards by administrative unit (village, district, zones)	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	TBD

Output 3.1		Rural access to sustainable drinking water service	
Output indicator		a. No. of WASHCO's/utilities established (revitalized) and trained. b. of WASHCO's/utilities operational and able to manage their WS systems. c. No. of people provided with basic water supply services. d. No. of Water Supply sources that can sustain extreme and recurrent drought (CR). e. No. of Water supply schemes that use green and clean energy for water pumping system (CR). f. No. of Water supply schemes with minimum/no risk of flooding and/or constructed with flood protection structures that can protect risky flooding (CR). g. No. of water points located in areas that are accessible and safe for all, with special attention to the needs of women and children (GBV). h. No. of women, girls and boys accessing GBV risk mitigation, prevention or response interventions. i. No. of people with access to safe channels to report sexual exploitation and abuse.	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0 e. 0 f. 0 g. 0 h. 0 i. 0
Target	Year 6	2025 (Jan-June)	a. 102 b. 102 c. 500,000 d. 92 e. 82 f. 92 g. 92 h. 250,000 i. 250,000

Output 3.2		Menstrual Hygiene Health Management in rural schools	
Output indicator		a. No. of schools with Menstrual Hygiene Health Management system. b. No. of schools with safe spaces and supplies for Menstrual Hygiene Health Management. c. No. of school WASH services that have separate blocks for girls and boys (GBV). d. Proportion of girls that use latrine in schools as compared with boys (GBV).	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0
Target	Year 6	2025 (Jan-June)	a. 62 b. 62 c. 50 d. 100%

Output 3.3		Rural knowledge promotion on hygiene practice	
Output indicator		a. No. of HHs provided with hygiene promotion by health worker/s on proper use of sanitation, hand and face washing including baby WASH. b. No. of hand washing facilities provided that are found to contain soap and water. c. No. of target communities that dispose of their solid waste through environmentally and socially appropriate disposal mechanisms d. No. of HHs provided with hygiene promotion by health worker/s on knowledge of proper management of MHH.	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0
Target	Year 6	2025 (Jan-June)	a. 624,000 b. 499,200 c. 499,200 d. 624,000

Project Title 4		Urban WASH and Refugees	
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Outcome 4		By 2025, children and families in urban and refugee areas have increased equitable access to basic, inclusive and climate resilient WASH services including in humanitarian situations.	
Outcome indicator		Number of urban and refugee households (adults and children) practising appropriate WASH standards by administrative unit (district, urban centre, zones)	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	TBD
Output 4.1		Capacity building of WASH services in urban and refugee areas	
Output indicator		a. No. of feasibility studies and designs. b. No. of baseline and endline surveys conducted. c. No. of equipment, tools and materials provided for towns/refugee centres.	
Baseline	Year	2021	a. 0 b. 0 c. 0
Target	Year 6	2025 (Jan-June)	a. 2 b. 4 c. 2
Output 4.2		Urban and refugee access to sustainable drinking water service	
Output indicator		a. No. of people in town/s provided with basic water supply. b. No. of refugees and host communities provided with basic water supply.	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 23,370 b. 34,927
Output 4.3		Urban and refugee access to basic sanitation services	
Output indicator		a. No. of people in town/s provided with basic sanitation services. b. No. of refugees and host communities provided with basic sanitation services.	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 23,370 b. 34,927
Output 4.4		Menstrual Hygiene Health Management for schools in urban areas, refugees and host communities	
Output indicator		a. No. of schools with Menstrual Hygiene Health Management system. b. No. of schools with safe spaces and supplies for Menstrual Hygiene Health Management. c. No. of school WASH services that have separate blocks for girls and boys (GBV). d. Proportion of girls that use latrine in schools as compared with boys (GBV).	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0
Target	Year 6	2025 (Jan-June)	a. 3 b. 3 c. 3 d. 100%

6. Institutional and Management Arrangement

6.1 Management Set-up

The Danish support to the UNICEF Ethiopia WASH Programme will have a simple management structure where UNICEF has the overall responsibility as the programme owner³³. As responsible for the management and administration, UNICEF will apply their own policies, procedures and standards for fund management which in addition must meet the Danish MFA requirements. UNICEF will be responsible for all reporting and accounting towards Denmark.

The ToC and results framework follows the same structure as the larger UNICEF Ethiopia Programme, but the results framework has been tailored to the desired hard earmarking of the Danish support to this programme. In order to provide flexibility and responds to increasing instability, uncertainty, and constant changes, adaptive management will be used to continuously quality assure and prioritize the support to the UNICEF Ethiopia Programme.³⁴ This is reflected in this programme document's budget and result frame. The budget contains unallocated funds (12%), which will be used for adaptive management, they can support needs within the programmed outcomes or can be used for specific earmarked activities within emergency WASH.

³³ The UNICEF WASH Programme is based on bilateral agreements with each donor rather than one common JFA for all donors

³⁴ MFA/Danida. November 2020: Guidelines for Country Strategic Framework, Programmes and Projects, Section 1.3: Development effectiveness

A Project Management Unit (PMU) will be formed, with representatives from UNICEF Ethiopia, including the Chief for WASH, and representatives from the RDE. The structure of the management setup will be four PMU meetings per year, where UNICEF will present to the RDE progress reports, annual work plans and budgets (for approval) with an outlook for the next half year. The PMU will also use adaptive management to review the results and agree on the best use of the unallocated funds. The PMU will also participate in field visits, when possible. This will be critical to ensure continued learning and adaptation in line with the Doing Development Differently approach.

The PMU will also serve as a forum to discuss, seek input and coordinate with UNICEF and with other relevant WASH partners in Ethiopia. In addition, the RDE will engage in the DAG Water Sector WASH Working Group and use this platform for:

- General guidance and advice on overall strategic direction, issues and priorities
- Discuss best ways to proceed to achieve the programme objectives
- Advise on long-term strategic objectives
- Possible linkages to the bilateral Danish SDG 6 support and capacity building of local authorities through the water SSC

7. Budget

The Danish contribution amounts to a total of DKK 200 million to the UNICEF Ethiopia WASH Programme. DKK 130 million have already been allocated on The Danish Finance Act 2021 and another allocation of DKK 70 million is proposed on the Finance Act 2022 – subject to parliament approval³⁵.

As described in section 3.2, to secure best fit with Danish priorities and measurable results, earmarking will prioritize Rural WASH and Urban and Refugee WASH (outcomes 4 and 3), while still covering the entire UNICEF programme broadly. Most funding is allocated to outcome 3) Rural WASH and outcome 4) Urban WASH and Refugees, where the biggest direct impact on water access and sanitation is expected. In addition, a fair share of funding is directed to outcome 2) End open defecation to ensure a focus on health issues. Finally, capacity building will be covered through outcome 1) Sector coordination and knowledge management, which will receive the smallest share of funding.

The budget includes unallocated funds and have been incorporated to allow for adaptive management allowing for allocations during the project. The unallocated funds will also prioritise new needs within emergency WASH, or additional support to Rural WASH and Urban & Refugee WASH. Considering the Danish engagements and current contextual risks (see ch. 9), the unallocated funds will ensure room for agility to adapt to contextual changes and furthermore to urgent needs, e.g., humanitarian relief responses such as emergency WASH. In this way, the Danish contribution will support the overall UNICEF WASH framework, but will also be able to respond to possible changes in the context or new knowledge on how to achieve better results (cf. adaptive management). When drawing on the unallocated funds, the procedures under the DANIDA guidelines will be referred to³⁶. The unallocated funds will be distributed to allow for more flexibility further into the programme, reflecting the increase of uncertainty over time. The allocation of unallocated funds will be based on a flexible and lean model, where at least 40% of unallocated funds will be allocated before end-2022 and 100% before end-2024.

In the budget, management fees and costs to UNICEF have been listed based on UNICEF's inputs. These consist of programme management costs, cross sectoral support, a recovery cost to UNICEF's headquarters, and a levy³⁷.

³⁵ The budget is based on the full DKK 200 million contribution, but if necessary, the budget can be reduced to DKK 130 million with the same priorities covered. In Annex 5: Budget, two different budgets have been designed, so the allocation of DKK 130 million can be separated from the additional DKK 70 million for each outcome level.

³⁶ See DANIDA's "Guidelines for Country Strategic Frameworks, Programmes and Projects, Section 5.4" and "Guidance Note: Adaptive Management".

³⁷ These costs have been discussed with FRU, MUS and the Mission in NY as well as negotiated with UNICEF.

In case of unsatisfactory performance of the UNICEF WASH programme, triggers will be specified to ensure timely budget reduction and/or reallocations. These triggers will be identified in the bilateral agreement with UNICEF and coordinated with FRU. A full overview of the budget can be found in the budget table in annex six.

7.1. Budget table

Outcome/ Output	Million DKK
Outcome 1: Sector Coordination (3%)	5.961.433
Output 1.1: Existence of WASH sector monitoring, evaluation and learning mechanism	1.574.556
Output 1.2: Existence of functioning sector coordination mechanism for WASH for development and humanitarian coordination	3.057.219
Output 1.3: Existence of sector regulation and accountability mechanisms for WASH	1.329.658
Outcome 2: End Open Defecation (7%)	13.818.052
Output 2.1: Communities practicing open defecation	1.564.640
Output 2.2: Access to basic sanitation services	12.253.412
Outcome 3: Rural WASH (39%)	77.531.063
Output 3.1: Rural access to sustainable drinking water service	72.215.434
Output 3.2: Menstrual Hygiene Health Management in rural schools	4.378.107
Output 3.3: Rural knowledge promotion on hygiene practice	937.522
Outcome 4: Urban WASH (20%)	38,972,270
Output 4.1: Capacity building of WASH services in urban and refugee areas	3,596,208
Output 4.2: Urban and refugee access to sustainable drinking water service	29,041,358
Output 4.3: Urban and refugee access to basic sanitation services	5,694,668
Output 4.4: Menstrual Hygiene Health Management for schools in urban areas, refugees and host communities	640,036
Total Programme cost	139.282.818
Unallocated funds	
Set-aside budget for Emergency WASH ³⁸ and/or Outputs 3.3 & 3.4	23,797,929
Total Programme cost + Unallocated funds	160,080,746
Direct UNICEF costs	
Programme management cost: 6.43% - Direct cost ³⁹	12.252.587
Cross Sectoral Operational Support (supply, logistics etc.): 6% - Direct cost ⁴⁰	11.000.000
Total Programmable cost	183.333.333
Indirect UNICEF costs	
Cost Recovery (HQ): 8% of Total UNICEF cost - Indirect cost	14,666,667
1% Levy	2.000.000
Grand Total	200.000.000

Disbursement plan (total might change depending on the use of unallocated funds):

Outcome	2021 (Q4)	2022	2023	2024	2025 (H1)	Total
1. Sector Coordination	5,00%	30,00%	25,00%	30,00%	10,00%	100,00%
2. End open defecation	8,50%	26,50%	30,00%	25,00%	10,00%	100,00%
3. Rural WASH	0,11%	24,94%	29,92%	29,97%	14,99%	100,00%
4. Urban WASH	1,20%	25,00%	33,80%	30,00%	10,00%	100,00%
Total	2,95%	26,40%	27,54%	31,28%	11,81%	100,00%

³⁸ The results framework of Emergency WASH is specified in annex 6

³⁹ The Programme management cost of 6,43% (direct cost) has been outlined in annex 5B

⁴⁰ The Cross Sectoral Operational Support of 6% (direct cost) has been outlined in annex 5, considering 5 regions

8. Financial Management, planning and reporting⁴¹

8.1. Financial Management

The activities of the Danish support to the UNICEF Ethiopia WASH programme shall be subject to reporting as well as accounting, financial control and auditing in accordance with Danida's Guidelines for Accounting and Auditing of Grants channelled through Multilateral Organisations. Expectations relating to Financial Management, Planning and Reporting are outlined in the Strategic Partnership Agreement (2020-2022) between Denmark and UNICEF. Specifically, Articles 5 – 10 cover respectively Management of the Contributions; Procurement and Ownership; Reporting & Audit; Monitoring & Evaluation; Annual Consultations; and Communication on contribution and results.

In addition, UNICEF and the Embassy of Denmark in Addis Ababa have agreed that the financial reporting shall be at output level and at least on the same detailed level as the budget. Since adaptive management will be used, a strong focus on adaptation will be applied, not least when it comes to the needs of especially outcomes 3 and 4: Rural WASH and Urban and Refugee WASH and the potential support to Emergency WASH activities.

Allocation of unallocated funds should not be allocated during final year of implementation since quality programming and implementation takes time. Therefore 40% of unallocated funds should be allocated before end-2022 and 100% before end-2024.

Disbursement of funds will generally follow the results-based outputs. This means that the majority of the disbursement will follow the progress on access to WASH planned in the project. The RDE will disburse twice a year for a 6 month period to avoid accumulating funds at partner level. Disbursement will not take place if 70% of previously disbursed funds have not yet been used. If the programme develops a need for change to this setup, it will be justified and documented. The RDE shall have the right to carry out any technical or financial supervision mission that is considered necessary to monitor the implementation of the UNICEF WASH Programme in Ethiopia.

After the termination of the programme support, the RDE reserves the right to carry out evaluations in accordance with this article. In the event a case of Prohibited Practice is reported to the Ministry, the Ministry may request that the project activity be suspended, if the final recipient or another contracting party is credibly suspected of Prohibited Practice, or terminated if the final recipient or another contracting party has been found to have committed an act of Prohibited Practice.

8.2. Planning and reporting⁴²

The RDE and the partners will after the Inception Phase agree to a final results framework, detailed implementation plan including construction period for infrastructure, handing over and guarantee inspections within the program period ending 2025. These should be delivered at the latest one month prior to the end of the Inception Phase which will cover the first three months. If justified, the Inception Phase can be extended with three additional months, if approved by UNICEF Ethiopia and RDE.

UNICEF shall maintain the agreements under the SPA and provide reporting consistent to Article 7 of the SPA, entitled "Reporting and Audit". In addition, UNICEF and the Embassy of Denmark in Addis Ababa have agreed that semi-annual progress reports will be produced and quarterly progress meetings will be organized. UNICEF will provide a summary update on implementation progress and financial utilisation of thematic funds. The meetings are intended to identify progress to date, challenges and opportunities with respect implementation and achievement of the agreed results.

⁴² The communication activities and the M&E framework will be developed further together with the M&E and communication consultants engaged at the RDE in Addis Ababa.

In accordance with MFA guidelines, the programme will be subject to a mandatory Mid-term Review (MTR) managed by the MFA. This MTR is tentatively planned for 2023. It will have a mandate to recommend adjustments to programme inputs, outputs and outcomes as relevant, and the MTR will assess the programme's exit strategy, which will be prepared by RDE, and UNICEF as an input to the MTR. Criteria for successful exit is evidence of capacity developed, update and use of know-how that has been transferred. Criteria for a potential continuation of collaboration would be based on the emergence of new or expanded areas of cooperation, building on the success of the programme and offering cost effective use of resources – and availability of funding.

The period of project implementation will begin on the date of funds receipt and end on 30th June 2025. No financial commitments will be made after 30th June 2025.

Through the project, UNICEF will continue to seek efficiencies in its operations as informed by performance metrics, business intelligence and other quantitative and qualitative measures with a focus on delivering as effectively and as appropriately as possible to recipients through the streamlining of processes also retaining transparency and accountability.

The following activities are some of the major monitoring activities that UNICEF will conduct in order to report on the support provided by Denmark to the programme (The communication activities and the M&E framework will be developed further together with the M&E and communication consultants engaged at the RDE in Addis Ababa):

- Regular and scheduled programme monitoring visits to evaluate progress to achieve the Work Plans targets and anticipating reporting needs for SDG and GTP goals.
- Programmatic visits and spot checks for quality assurance and accountability and to contribute to reporting in UNICEF's the Results Assessment Module (RAM).
- Monitoring of bottlenecks and challenges for accelerated WASH programme implementation.
- End user monitoring of services and supplies for humanitarian response.
- Annual sustainability checks.
- Disseminate and apply findings of monitoring, research, lesson learnt and best practices to improve WASH programming.

UNICEF will use the latest available data from JMP and EDHS for planning and reporting on progress. UNICEF will also support the GoE with the development of a fully functional WASH Management Information System (MIS). This support will include definition of the data and information needs, and integration or linkages with the different Ministries' MIS.

Programme evaluability will be a core component of WASH programme implementation. Recognising the importance of independence of the evaluation function, the WASH programme will rely on guidance from evaluation specialists in the Social Policy, Evaluation and Research programme, as well as contracted specialists and oversight from the UNICEF Regional Office.

UNICEF will, in partnership with academia, private sector and civil society, continue to support sustainability checks to assess different sustainability factors of the services provided. UNICEF will also assess results of the professionalization of rural water supply utilities, impacts of power sources in water tariffs, consumption and sustainability. The impact of water projects on the social life of people and the environment will be carried out and action points will be drawn from these studies.

As Denmark is a major donor to UNICEF's Innovation Fund, innovative approaches, products and partnerships will be incorporated into the Project, including as a strategy for engaging private sector and in bringing new approaches to scale. Innovative local solutions will be incorporated into the project where feasible.

9. Risk Management ⁴³

A detailed risk management matrix is found in Annex 4. The MFA of Denmark will focus its risk management on key contextual, programmatic, and institutional risks, based on UNICEF’s own identified risk for the WASH Programme in Ethiopia.

Key contextual risks include the ongoing conflict in Northern Ethiopia, political, social and ethnic tensions, the effects of the Covid-19 pandemic, worsening of the current humanitarian crisis, weak operation and maintenance systems, and inadequate WASH regulations.

Key programmatic risks include lack of partner resources to implement activities planned, unsuccessful activities targeting hygiene behaviour, and non-development of capacities in rural and urban areas.

Key institutional risks include the risk of duplication of efforts or failures to recognise interfaces and synergies with other initiatives due to many donors and development partners – and if the programme fails to deliver its outcomes, this will reflect negatively on UNICEF, the GoE and its ministries as well as the MFA.

Risk mitigation measures are proposed and integrated in the programme design leaving the residual risks at low-medium levels. An inception phase has also been added to the design, to secure a close risk analysis and mitigation assessment of all activities before starting implementation. This will enable to plan based on the most recent information, as some of the contextual risks – especially the conflict – can evolve fast. All activities will be supported by a conflict-sensitivity and peacebuilding specialist, and risk informed through the “WASH Conflict Sensitivity, Peacebuilding, and Social Cohesion Guidance” tool. Adaptive management is also a central part of the design enabling flexibility. This will enable the PMU to secure a structure that regularly monitors and mitigates risks.

UNICEF’s past track record demonstrates significant capacity for resource mobilisation; organisational focus on developing the capacity of local counterparts and implementing partners; the application of innovative technologies to enhance monitoring and evaluation in challenging contexts; and significant advancements in terms of capacities for results-based budgeting and management. UNICEF is represented in all regions of Ethiopia, which enables them to implement and report even in hard to reach areas. UNICEF has also experience with implementing in conflict affected regions. In case of further deterioration of the security situation in Northern Ethiopia and beyond and increased challenges with the implementation of specific activities, UNICEF will re-evaluate their activities and opt for either working under a “stay and delivery” policy through remote management procedures with trusted third parties or closing activities with the hope of coming back as soon as possible.

10. Closure

In accordance with MFA guidelines, the programme will be subject to a mandatory Mid-term Review (MTR) managed by the MFA. This MTR is tentatively planned for 2023. It is the ambition that this review will propose an exit strategy for the programme

11. Short summary of projects

As UNICEF and Danida have agreed on ‘Earmarking’, the selected interventions will be part of the UNICEF WASH programme (2020-2025). Therefore, the Danida funded projects will follow the UNICEF WASH programme and not be described here.

⁴³ The development in Ethiopia will be monitored on an ongoing basis leaving room for possible revision.

12. Annexes

ANNEX 1: CONTEXT ANALYSIS

1. Overall Development Challenges, Opportunities and Risks

Summarise key conclusions from the analyses and implications for the strategic frameworks/programs/projects regarding each of the following points:

General development challenges including poverty, equality/inequality, national development plans/poverty reduction strategy, humanitarian assessment.

With aspirations to become a low-middle-income country by 2025, Ethiopia has made some strides with respect to the Sustainable Development Goals (SDGs). However, Ethiopia's rank of 173rd out of 189 countries on the Human Development Index indicates that, while the country is on the path, it has a way to go to reach its destination in terms of inclusive, sustainable development for all.

There has been tremendous progress in monetary poverty reduction (from 45.5 % in 1995/1996 to 23.5 % in 2015/2016). However, children in present-day Ethiopia, who account for more than half the population of the country, bear a greater poverty burden than adults: 32.4 percent of children under 18 compared with 29.6% of adults are monetarily poor in 2011. Additionally, 88 % of children live in multi-dimensional poverty, experiencing deprivations in domains such as health, nutrition, housing, education and/or water, sanitation and hygiene (WASH). Poverty in women is multi-faceted and linked to a lack of women's economic, social and political empowerment, including their access to and control over information, services, resources and commodities.

Ethiopia continues to face deeply rooted humanitarian challenges. More than 28.5 million people are affected by various shocks such as ongoing conflict, community violence and displacement, the COVID-19 pandemic, cholera outbreaks, desert locust invasion and recurrent climatic shocks such as floods and droughts. The ongoing conflict in Tigray, Amhara and Afar has resulted in a large number of civilian casualties, forced displacement and disruption of essential services. An increasing number of internally displaced people (IDPs) in different parts of the country are affected by insecurity and localized conflict, climate shocks, and COVID-19 need relief assistance and protection. In 2021, a projected 28.5 million people will need urgent humanitarian assistance—representing an alarming increase from 8.4 million at the start of 2020. Of an estimated 2.7 million internally displaced persons in Ethiopia, 1 million were displaced in 2020 and 1.9 million (70 %) were displaced by conflict.

Development in key economic indicators:

According to the most recent WB data for 2019, the GDP per capita is 855 USD, which is below the regional average and placing Ethiopia as a lower income country. However, Ethiopia is experiencing a continuous economic growth with an annual increase in GDP of around 8.5% over the last decade. The impact of the COVID-19 pandemic is likely to halt this development.

Of Ethiopia's 120 million population, 41% is under the age of 15 and 28% is aged 15-29. Youth unemployment is estimated at nearly 27% and the need for job creation is urgent for the next generation. The country's ambition is to create 20 million jobs in 2030 with the industrial and service sectors being the main drivers.

Ethiopia has taken significant steps towards liberalization of the economy through promotion of private investments. Foreign direct investments are an important source of capital. However, performance of goods exports remains weak and foreign exchange shortages persists.

In 2020, the inflation rate was at 20%, largely due to increasing food prices.

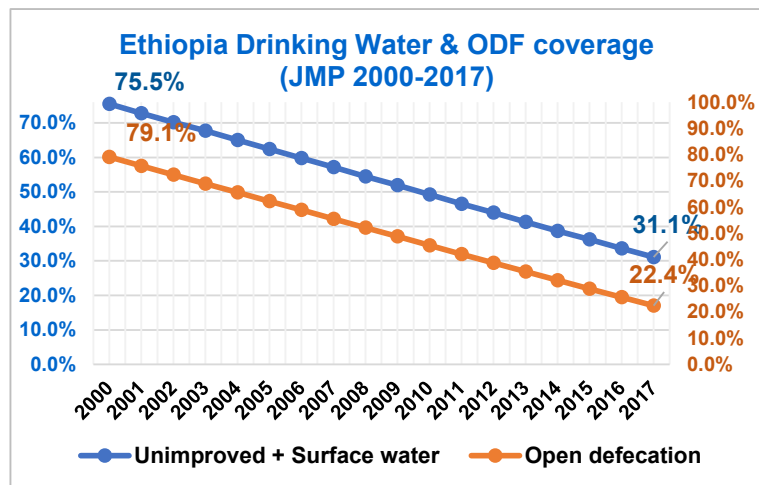
Status and progress in relation to SDGs, in particular those that are special priorities for Denmark:

Ethiopia has an ambitious goal of becoming a lower-middle income country by 2025. The country's Ten Years Perspective Development Plan (2021-2030) consists of 10 key strategic pillars including "Building a Climate Resilient Green Economy".

The SDG's are central elements in the strategic development of Ethiopia. This is also illustrated by the Danish and Ethiopian mutual commitment to the global agenda on climate change and sustainable economic growth. The joint Danish Ethiopian leadership on SDG 7 and the energy transition track during the UN Climate Action Summit in New York in 2019 is evidence for a strong partnership between the two countries. This programme will build on the success of the SDG 7 collaboration between Denmark and Ethiopia and seek to replicate a new success for SDG 6 - Ensure availability and sustainable management of water and sanitation for all.

Meeting the SDG target of universal coverage of safely managed water and sanitation access by 2030 requires improving current access levels by nine-fold for water and fourteen-fold for sanitation. Only 11 % of Ethiopia's population has access to safely managed drinking water and seven % to improved sanitation. As a result of sustained messaging on handwashing to prevent COVID-19, there has been an improvement in handwashing practices, but sustaining this improvement could be a challenge. Only 27 % of primary schools (10,052 out of the 15,343 respondent primary schools) have access to water supply and this negatively impacts school retention, especially for girls (Source EMIS 2018/19). Only 20 % of health facilities have WASH facilities, which remains a barrier to achieving quality of care.

Although the latest UNICEF and WHO Joint Monitoring Program (JMP, 2020) Report shows progress with access to 'at least basic drinking water' in Ethiopia, Ethiopia is still the second lowest among 96 countries in terms of safely managed water supply. Only 12,6% (39% in urban and 5,2% in rural areas) of people have access to a 'safely managed water supply', leaving around 22,3 million people still using unimproved water sources, which are assumed to be contaminated and dangerous to the health and well-being of the users.



The same report shows that access to 'at least basic sanitation services' for Ethiopia was 7% nationally (4% rural and 16% urban). Although considerable progress has been made to reduce the number of people defecating in the open in Ethiopia from 79 to 22% of the population, 20.4 million people still practice open defecation (21% for the rural population and 3% for the urban

population). Open defecation also varies significantly by wealth quintile and by region as shown in the figure below. In addition to this, the prevalence of having soap and water for handwashing at home is very low in Ethiopia, at 8% nationally (21% urban households, 4,8% rural households). Diarrhea disease remains the second leading cause of morbidity and mortality among children under the age of five, responsible for 13% of child deaths in Ethiopia.

Hygiene remains a priority issue in Ethiopia, both in emergency and non-emergency settings. According to the JMP (2019), the prevalence of a place in the home with soap and water for handwashing is very low in Ethiopia, at 8% nationally (23% urban households, 4% rural households). Diarrhoeal disease remains the second leading cause of morbidity and mortality among children under the age of five, responsible for 13 % of child deaths in Ethiopia. Children are more likely to be undernourished and stunted if they are exposed to fecally transmitted infections (FTIs) – including diarrhoeal disease, environmental enteropathy and/or intestinal worms, which are closely linked to poor hygiene and open defecation. Hygiene promotion is critical considering both the prevalence of the COVID-19 virus and that in 2020, 15,197 cholera cases were reported, affecting a greater number of woredas compared to outbreaks in previous years. UNICEF is working through social mobilisation and behaviour change communication to address hygiene and handwashing issues.

In Ethiopia, water and sanitation coverage in health facilities and in schools remain low. According to Ethiopia's One WASH National Programme Phase II plan (November 2018), schools often have inadequate water and sanitation facilities. The lack of WASH facilities serves as a barrier to children's attendance and performance in schools, particularly for female teachers and female students. Complete WASH coverage in schools is estimated at 30 %. Only 35 % of primary schools have safe water, and only 28% of schools have basic sanitation. Menstrual hygiene and health (MHH) facilities in schools facilitate the presence and attendance of female teachers and female students and contribute to girls' retention, learning outcomes and completion of school, to their health and hygiene, and to safeguarding. As cited in the National Adolescent and Youth Strategy 2016-2020, an estimated 15 % of girls and young women have missed school because of menstruation, and the drastic lack of facilities and items to safely manage it. Safe and clean WASH services are also important for reducing women's and girls' vulnerability to gender-based violence (GBV) in humanitarian settings, when females often contend with both physical hardship and physical insecurity when trying to obtain water and practice sanitation and hygiene in camps and other temporary settlements.

State of democracy; what is the most important political and democratic trends in the specific context incl. regime persistence, political inclusiveness and government accountability

The line-up of various reform plans in Ethiopia does represent opportunities for the UNICEF WASH Programme as the timing of the engagement coincides with processes of formulating concrete actions for the achievement of defined policy targets, especially the One WASH strategy in Ethiopia. However, there are different geo, climate and health challenges that may impact the political situation in Ethiopia. The COVID-19 pandemic had an immediate negative effect on Ethiopia, from a health, economic and political dimension. The vaccine fueled recovery from COVID-19 in sub-Saharan Africa will drag on with damaging effects of the pandemic causing harm in the short, medium and long term. The IMF forecasts that in 2021, it will be the slowest-growing major region. In many countries it will take several years for the GDP per person to get back to where it was before COVID-19. In addition to this, the pandemic had a direct effect in the

postponement of the planned general election in 2020, that took place in June 2021 and September 2021.

Ethiopia's Tigray region has since November 2020 been affected by armed conflict between the Tigray People's Liberation Front (TPLF) and federal and its allied regional forces. The conflict has since July 2021 spread into neighbouring regions of Amhara and Afar. The armed clashes as well as the insufficient amounts of aid being allowed into Tigray have created an extremely dire humanitarian situation in the region, where as of September 2021 5.2 million people in are need of humanitarian assistance, 2.1 million people has been internally displaced, and approximately 400,000 people are affected by famine (IPC level 5). Fighting in Afar and Amhara has led to increasing humanitarian needs and displacement also in those regions. Throughout the conflict, there has been numerous reports of human rights violations committed by all parties including killings of civilians and sexual and gender based violence. The conflict has increased existing political tensions and led to mobilization along ethnic lines not only in the northern regions but across the country, leading to a deteriorated security situation in Ethiopia at large with active fighting occurring in several regions, including Oromia, between armed members of different ethnic groups and federal and regional security forces. In particular, the increase in inter-communal violence along ethnic lines and regional borders, increased demands for regional and ethnic autonomy claims have caused widespread conflict-induced displacement and reports of human rights violations. The conflict risks becoming a protracted crisis, with long-term consequences for the state of institutions and governance as regional as well as federal level.

Looking at a regional level, negotiations over the Grand Ethiopian Renaissance Dam (GERD) on the Nile River with downstream countries Sudan and Egypt are in a stalemate as of September 2021, awaiting further rounds of negotiations under African Union leadership. Talks risk being delayed while the Ethiopian Government responds to the ongoing conflict in Northern Ethiopia.

However, amid these uncertainties, it is anticipated that the WASH agenda will continue to be central to the reforms in Ethiopia. Moreover, the COVID-19 pandemic underscores the crucial need of WASH solutions for reducing the spread of the virus, which is expected to create support and a momentum for the programme.

List the key documentation and sources used for the analysis:

- National Development strategies and progress reports;
- WB Country Diagnostics <https://openknowledge.worldbank.org/handle/10986/23099>
- Development partners' country analyses
- National poverty assessments
- IMF Article 4 and other country reports
- Varieties of Democracy (V-Dem)⁴⁴
- Afrobarometer is an African series of national public attitude surveys on democracy, governance and society
- Freedom House
- UNDP Human Development Index
- SDG Tracker Our World in Data, and UN SDG progress reports
- Global Gender Gap Report: <https://www.weforum.org/reports/gender-gap-2020-report-100-years-pay-equality>
- World Bank Human Capital Index: <https://datacatalog.worldbank.org/dataset/human-capital-index>.
- UNICEF/WHO Joint Monitoring Programme Report 2020
- UNICEF Ethiopia Situation Analysis, 2020
- UNICEF Ethiopia WASH Programme Strategy Note, 2020
- UNICEF Ethiopia Annual Report 2020
- Ethiopia 2021 Humanitarian Needs Overview

⁴⁴ An approach to conceptualizing and measuring democracy, which provide a multidimensional and disaggregated dataset that, reflects the complexity of the concept of democracy as a system of rule that goes beyond the simple presence of elections.

- Ethiopia 2021 Humanitarian Response Plan
- Multidimensional Child Deprivation in Ethiopia, CSA and UNICEF Ethiopia, 2018
- Sanitation micro plan study report, 2019, UNICEF Ethiopia, endorsed by the government.
- Ministry of Health/FDRE. 2016. National Adolescent and Youth Health Strategy. (ORIGINAL SOURCE DATA: Tegene et. al, 2014).

Are additional studies/analytic work needed? How and when will it be done?

List additional studies that might be carried out as part of the formulation or implementation phase, including studies that will be carried out jointly with others or by partners /other donors.

It is crucial that during inception, the programme management will provide special attention and focus on the above discussed issues and ensure appropriate actions are taken to ensure that the selected activities are feasible to implement under the current increased uncertainty and risk factors.

2. Political Economy and Stakeholder Analysis

A political economy and stakeholder analysis provides a critical underpinning for programming and decisions on approaches and modalities and informs most of the other analyses, including the Theory of Change (ToC), the scenario analysis, the risk analysis, the partner assessment, and the results framework. Political Economy Analysis (PEA) examines social and economic structures, formal and informal institutions and power relations ('rules of the game'), cultural norms, stakeholders and their ideas, interests, incentives and influence potential.

A project or program take place in a *context*, which includes different interests, power relations, a specific institutional set-up and political environment. The context factors – both structural and conjunctural - and the actors/stakeholders shape the dynamics, which will enable or constrain change, reform and more broadly development. The interdisciplinary analysis of such context factors are often referred to by the broad term “political economy”. Different societal groups have different interests in e.g. rent seeking or market access, and they pursue their interest with formal and informal means of influence and power at their disposal. They have a stake in the sector, the theme or the issue – and they are therefore referred to as *stakeholders*. They may be individuals, groups or organizations.

Country level analysis (strategic frameworks) provides awareness and knowledge about the country context and understanding of the broad political-economy environment. At sector level, the analysis identifies specific barriers and opportunities within particular sectors/thematic areas, and finally problem-driven analysis PEA is geared to understand a particular problem at the project level, or in relation to specific policy issue. A political economy analysis does not necessarily call for comprehensive ex-ante analysis and long descriptions. Looking at historical experiences and triangulating recent assessments by key informants may be sufficient to design the program or project.

Summarise key conclusions from the analyses and implications for the strategic frameworks/programs/projects regarding each of the following points:

Political economy:

The Government-led One WASH National Programme, a sector-wide approach in which UNICEF is a partner, is investing a total budget of US\$ 6.559 billion from 2019-2024 to implement its five components; Rural WASH (US\$1.367 billion); Urban WASH (US\$1.868 billion); Climate Resilient (CR) WASH (US\$2.489 billion); Institutional WASH (US\$0.833 billion); and Capacity Building and programme management (US\$0.301 billion). In addition, the National Sanitation or 'Tsedu' Campaign (*clean* in Amharic) was formally launched by the State Ministers of Health and Water in November 2019 at the Multi-Stakeholder Forum of the OWNPN and is now in its preliminary year of implementation. Hampered, inevitably, by the impact of the COVID-19 pandemic (which continues

to divert ministry resources to the response), the OWNPN is now gearing up to respond to this monumental task of eliminating open defecation in Ethiopia by 2024, however, many challenges remain. UNICEF is committed to supporting the government to deliver this campaign.

Stakeholder analysis⁴⁵:

UNICEF Ethiopia's WASH programme will work closely with the Government of Ethiopia (GoE), other United Nation partners, Civil Society, the private sector, communities and children to deliver change by combining high quality programmes at scale with communication, advocacy and mobilization of resources.

UNICEF is one of the key development partners that actively supported the GoE in launching and establishing the One WASH National Program (OWNPN). UNICEF will use its unique position of influence as a key technical partner and contributor to the Consolidated WASH Account (CWA) to support strengthening of the system through all the key enabling environment building blocks identified by the Sanitation and Water for All (SWA) partnership. UNICEF also plays an important role in the development and piloting of innovative ideas for advocacy and policy change. UNICEF has established strong working relationships with the government (especially MoWIE, MoE, MoH and MoF), bilateral donors, UN agencies, academia, development partners, NGOs and civil society in Ethiopia and their experts play a major role in cluster coordination to emergency response as well as several WASH dialogue platforms. UNICEF will leverage its cluster leading role to connect humanitarian and development coordination and identify resilience actions in both ways, through humanitarian action as well as through development-funded preparedness. UNICEF is also leading the dialogue with government to better engage the private sector and provide support to the CSO forum. Building on these, UNICEF will continue working in partnership with government, donors, NGOs, the private sector and academia. UNICEF will also use the convening power of its field presence to support the sector wide approach of the One WASH program implementation at the regional level.

The United Nations Sustainable Development Cooperation Framework (UNSDCF) represents the strategic response of the UN Country Team in Ethiopia to the national development priorities including achievement of the SDGs. All members of the UN family work together in an integrated manner to achieve the strategic results in the UNSDCF. The UNICEF WASH programme will contribute to one or more of the results areas and groups of the UNSDCF. Other key sectoral partnerships include partnership with media entities, religious leaders, high profile champions and community-based platforms for enhancing demand creation.

UNICEF is also collaborating with the private sector in order to promote innovative approaches to drive sustainability and build effective markets, for WASH supply chains especially sanitation and renewable energy and to learn from other sectors on private sector engagement to achieve universal access for WASH. The WASH programme will engage with the private sector and shape local markets for children, including undertaking research in technologies for the attainment of set goals and targets. Attention will be paid to reducing market barriers that inhibit access to essential supplies for WASH services. UNICEF WASH will partner with private sector organizations to provide pro-poor sanitation and stimulate market creation.

⁴⁵ Reference is made to Annex 2: Partner assessment, where a thorough description of the partners involved in this programme can be found.

Finally, UNICEF will continue to support stronger linkages between WASH cluster/emergency coordination and the longer-term sectoral strategies. UNICEF will continue to contribute to the sector pool fund through the Consolidated WASH Account (CWA) together with the World Bank, African Development Bank, UK-DFID, KOICA, Government of Finland, among others, while also coordinating the activities of the DAG water sector-working group.

List key documentation and sources used for the analysis:

Relevant references and guidance may include:

- Afrobarometer is an African series of national public attitude surveys on democracy, governance, and society
- Freedom house assess the level of freedom in each country in the world, with a numerical score and ranking as Free, Partly Free, or Not Free.
- Political/economy analysis, stakeholder analysis, capacity assessments, Drivers of Change or Power Analysis
- Information on the governance regime can be found in power studies, political-economy studies, and drivers of changes studies. <https://eba.se/rapporteur/201909-democracy-in-african-governance-seeing-and-doing-it-differently/11528/>

Are additional studies/analytic work needed? How and when will it be done?

List additional studies that might be carried out as part of the preparation phase, including studies that will be carried out jointly with others or by partners/other donors.

No.

3. Fragility, Conflict and Resilience

Situation with regards to peace and fragility based on the Fragility Risk and Resilience Analysis Tool (FRAAT).

Among the key drivers of humanitarian needs in Ethiopia are the ongoing conflict in Northern Ethiopia, desert locust invasion, recurrent climatic shocks such as floods and droughts, and socioeconomic impact of COVID-19. Amidst the political transition and reform process initiated after the coming to power of Prime Minister Abiy Ahmed in 2018, armed conflict and community violence remain a critical concern across Ethiopia. Increased competition over resources due to pressures from climatic shocks and desert locust infestation in certain areas, create further inter-communal tension, violence, and displacement. Of an estimated current 2.7 million people internally displaced in Ethiopia, 1 million of which occurred in 2020, approximately 68 % were displaced by armed conflict, underlining the rapidly evolving protection crisis in Ethiopia.

The COVID-19 pandemic and its containment measures worsened a dire humanitarian situation, with an estimated loss of up to 2.4 million jobs. As a result, 31 million people were estimated to be living below the poverty line in 2020, up from 26 million people in 2019. Women, who had comprised a large majority in the hard-hit tourism and hospitality sector, have been disproportionately affected by not only the economic crisis, but also by related protection concerns, including gender-based violence, which has seen an exponential rise since April 2020.

The crippling socioeconomic impacts of COVID-19 are expected to persist throughout 2021. Furthermore, ongoing insecurity both in and beyond Tigray will continue to severely undermine the availability and access to food and other basic goods and services and have further socioeconomic impact. Predicted La Niña conditions and below-average rainfall particularly in the South and South-Eastern parts of the country also threaten to exacerbate food insecurity and other humanitarian needs,

in addition to increasing the concern for unrest as communities compete for even more limited water resources.

Identify on-going stabilisation/development and resilience efforts and entry points and the potential for establishing partnerships and alliances with national, regional and other international partners in order to maximise effects of the engagements.

UNICEF in Ethiopia made significant strides along the spirit of UN reform in 2020, contributing to development of the new UNSDCF. With UNHCR, UNICEF worked to operationalize the strategies set out in the new Blueprint for Joint Action for Refugee Children via joint planning and the development of a revised partnership with the Agency for Refugee & Returnee Affairs (ARRA). Implementation of the Blueprint in Ethiopia will help Government to realize its pledges towards refugees. The Blueprint with UNHCR was complemented by an agreement detailing the components of joint advocacy and data sharing.

List the key documentation and sources used for the analysis:

Relevant references and guidance may include:

- Fragility Risk and Resilience Analysis Tool (FRAAT) [ERRAT_FINAL_2020_06_26.docx](#)
- DAC International Network on Conflict and Fragility (INCAF): <http://www.oecd.org/dac/governance-peace/conflictfragilityandresilience/>
- World Bank - Fragility, Conflict and Violence: <http://www.worldbank.org/en/topic/fragilityconflictviolence>
- International Dialogue for Peace and State Building – New Deal: <https://www.pbsdialogue.org/en/>
- Global Initiative Against Transnational Organised Crime: <http://globalinitiative.net/>
- Global Witness: <https://www.globalwitness.org/en-gb/>
- UK-Stabilisation Unit: <https://www.gov.uk/government/organisations/stabilisation-unit>
- Solution Alliance (humanitarian-development-peace nexus) : <http://www.solutionsalliance.org/>
- DCAF Security Sector Governance/Reform: <http://www.dcaf.ch/>
- EU. Crisis and fragility management: http://ec.europa.eu/europeaid/policies/fragility-and-crisis-management_en
- UN Peace Building; Un Peace Building Commission: <http://www.un.org/en/peacebuilding/> and the UN Peace Building Fund <http://www.unpbf.org/>
- UNOCHA sitrep's
- Global Peace Index (www.economicsandpeace.org)
- Failed State Index (www.fundforpeace.org)
- International Crisis Group country reports (www.crisisgroup.org)
- <http://data.worldbank.org>
- <http://reliefweb.int/countries>
- UNSCR 1325
- International and regional human rights and HRBA principles and HRBA Guidance Note of 2013
- International humanitarian law, humanitarian principles and Good Humanitarian Donorship
- Agenda for humanity (<http://www.agendaforhumanity.org>)
- Making the SDGs work for Humanitarian Needs (<http://unsdsn.org/wp-content/uploads/2016/05/WHS-background-paper.pdf>)
- The solution alliance (a network to tackle protracted displacement - <http://www.solutionsalliance.org/library>)
- Ethiopia 2021 Humanitarian Needs Overview
- UNICEF Ethiopia 2020 Annual Report

Are additional studies/analytic work needed? How and when will it be done?

List additional studies that might be carried out as part of the preparation phase, including studies that will be carried out jointly with others or by partners/other donors.

It is crucial that during inception, the programme management will provide special attention and focus on the above discussed issues and ensure appropriate actions are taken to ensure that the selected activities are feasible to implement under the current increased uncertainty and risk factors.

4. Human Rights, Gender, Youth and applying a Human Rights Based Approach

As an important element of the Human Rights Assessment special focus should be placed on the Danish human rights priorities: 1) gender equality, including the fight against discrimination, violence, gender stereotypes, sexual and reproductive health and rights and equal opportunity in society; 2) the fight against and prevention of the use of torture and ill-treatment especially through law reform, police training and human rights awareness; 3) indigenous peoples rights and participation in processes affecting their lives; 4) accountability for gross violations of human rights; 5) freedom of thought, conscience and religion, hereunder the fight against discrimination and persecution of thought based minorities, and prevention of religious based conflict; 6) civil society space, including freedom of assembly and association, expression, thought or religion and online and off-line rights; 7) protection of human rights defenders, hereunder human rights activists, atheists and faith based actors.

Promoting human rights in Strategic Frameworks/Programs/Projects, Denmark places a particular high importance to gender equality and a focus on young people as right holders and agents for change. A key priority in this respect is the promotion of a gender transformative approach and at the same time considering harmful social and gender norms in analysis and programming.

Applying a gender transformative approach entails transforming the power dynamics and structures that serve to reinforce gendered inequalities. It involves engaging groups at all levels in critically examining, challenging and questioning social and gender norms and power relations. This spans from questioning institutionalised structures and belief systems to everyday habits by individuals that may be unequal. Unpacking norms and behaviours and how they may be shifted can offer valuable insights on gender transformative and social and behavioural pathways of change over time.

Systematically applying a Human Rights Based Approach (HRBA) in Denmark's development cooperation implies a focus on those who are most marginalized, excluded or discriminated against (leaving no one behind) as well as on the relationships between duty-bearers and rights-holders. A HRBA offers a multidimensional perspective on poverty in a comprehensive, systematic and operational way. The core thrust of Denmark's approach to HRBA is the four principles of non-discrimination, participation & inclusion, transparency and accountability.

The key is to identify the binding constraint(s) on the fulfilment of human rights in the specific context (closely linked to the analysis of the democracy indicators and governance relations), and set priorities accordingly together with local stakeholders and partners.

The HRBA Guidance Note (hrbportal.org) and a tool kit for how to include Youth in Development <https://amg.um.dk/en//youth-in-development/> may provide further guidance.

Summarise key conclusions from the analyses and implications for the strategic frameworks/programs/projects regarding each of the following points:

Human Right Standards (international, regional and national legislation)

On 28 July 2010, through Resolution 64/292, the United Nations General Assembly explicitly recognized the human right to water and sanitation and acknowledged that clean drinking water and sanitation are essential to the realisation of all human rights.

The contribution to be made by the programme in terms of capacity development and tools for more well-informed and transparent decision making in WASH, will enable the duty bearers (i.e. the political

decision makers and public authorities) to be mindful of the needs and priorities of end-users and ultimately beneficiaries at the household and enterprise level (the rights holders). The human rights principles of participation, accountability, non-discrimination, and transparency will thus be an integrated concern throughout the programme. Human rights due diligence processes will be conducted in this context. Similarly, the potential impacts and benefits, as a result of the cooperation for both women, men and youth have been carefully addressed in the formulation process and during consultations with the various stakeholders and will also during implementation be issues that need to be considered.

Universal Periodic Review

Assessment of the most important recommendations from Universal Periodic Review (UPR) relevant for thematic programmes/projects and from any treaty bodies, special procedures, INGOs, Human rights institutions etc. that require follow up by partners in the program.

Human Rights Based Approach (HRBA) Principles

UNICEF has a strong commitment to HRBA principles and the Core Commitments to Children (CCCs). UNICEF's Global Strategy for WASH aims to progressively realizing the human rights to water and sanitation, with a focus on priority interventions for children. The Strategy articulates how UNICEF will support governments and partners to achieve universal and sustainable water and sanitation services and the promotion of hygiene, with a focus on reducing inequalities especially for the most vulnerable children, wherever they are, both in times of stability and crisis.

UNICEF's work in WASH will contribute to global efforts to meet the water and sanitation Sustainable Development Goal – SDG 6 – and the broader SDG agenda, targeting priority interventions for children. UNICEF will focus on water, sanitation and hygiene in households and institutions, with two overarching objectives, which align with the first two SDG 6 targets:

1. By 2030, achieve universal and equitable access to safe and affordable drinking water for all;
2. By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations.

UNICEF's core accountability will be to act where children do not have even a basic level of service. We will also address the more ambitious goal of “safely managed” services embedded in SDG 6, as that is critical to addressing inequalities and sustaining the gains that have been made over the past 20 years.

Participation

Stakeholders will be consulted and included in all WASH project plans. To ensure conflict sensitivity, participatory and conflict-sensitive WASH provision will be ensured to strengthen resilience to conflict. Social cohesion will be strengthened through collaborative engagement with WASH/health authorities and amongst communities in conflict-affected contexts to sustain results. A distinct conflict sensitivity strategy will be integrated in conflict-affected contexts, closely monitoring conflict dynamics that might affect or be affected by our interventions. Community engagement will be prioritised to ensure transparency around the proposed investments and manage expectations and perceptions of the same.

Inclusive and equitable provision of services will be ensured to reduce exclusion and marginalization. For example, increased availability of water strengthens resilience to climatic shocks and stresses and reduces incentives for conflict between pastoralist communities and farming communities in drought-prone areas. In IDP-hosting areas, community engagement platforms will be established/supported to

include both host and IDP communities to facilitate the sharing of services in IDP-hosting contexts, strengthening horizontal social cohesion.

Transparency

UNICEF's equity and accountability to affected populations (AAP) approach is fully adopted in all WASH programmes and all projects utilize a context-sensitive and relevant strategy to reach the most vulnerable and hardest-to-reach groups.

AAP refers to the responsibility to ensure programmes generate meaningful and relevant results and outcomes for girls, boys, women and men, in accordance with their specific needs, priorities and preferences. It involves working in ways to protect, facilitate and enable them to exercise their rights to safe, fair, equitable access to quality services to accurate, reliable and relevant information to share their views and opinions about the quality and effectiveness of programmes to participate in decisions that affect them. This requires building relationships of trust between UNICEF, its partners and vulnerable people and communities, based on mutual respect, transparency and two-way communication and engagement, and ensuring that participating communities are informed on their rights and entitlements, expected standards of conduct, available services, how to access them through preferred language and method of communication.

Conflict monitoring and the integration of conflict sensitive approaches as described in the section above will further strengthen the reach and sustainability of the interventions. These include for example the integration of equity considerations, adequate consultation with communities in conflict-affected contexts, transparency in selection criteria of locations and beneficiaries of WASH interventions. Any relevant materials will always be translated into the relevant local languages.

Gender

Gender inequality is highly salient to WASH. Access to safe drinking water and the elimination of open defecation are inherently gendered goals. Women and girls are disproportionately affected by a lack of clean and enough water, safe and clean toilets and soap for washing. Hauling the water their families need takes up a large proportion of the time of women and girls time that could otherwise be spent on learning, income generating or other activities. Likewise, women and girls are disproportionately affected by a lack of clean and enough water, safe and clean toilets and soap for washing. Those who lack toilets at home, schools and health facilities risk indignity, harassment, sexual assault and threats to their health.

The WASH Programme will implement gender responsive programming to ensure that women, men, girls and boys participate in, and equitably benefit from all WASH initiatives. Gender analysis will be an integral element of all assessments so that water, sanitation and hygiene actions are informed by evidence on the specific needs and vulnerabilities of women and girls both in development and humanitarian context. The role of girls and women in promoting sanitation will be leveraged.

References to guidelines on ensuring gender aspects and equalities will be an integral part of the specific activities during programme implementation.

Youth

The lack of WASH facilities serves as a barrier to children's attendance and performance in schools, particularly for female teachers and female students. Complete WASH coverage in schools is estimated at 30 %. Only 35 % of primary schools have safe water, and only 28% of schools have basic sanitation. As cited in the National Adolescent and Youth Strategy 2016-2020, an estimated 15 % of girls and young women have missed school because of menstruation, and the drastic lack of facilities and items

to safely manage it. Menstrual hygiene and health (MHH) facilities in schools facilitate the presence and attendance of female teachers and female students and contributes to girls' retention, learning outcomes and completion of school, to their health and hygiene, and to safeguarding. Social and behavioural change communication will be used to reach youth, by sponsoring influential champions, role models, religious leaders, other influencers. Use peer to peer approaches that mobilise school clubs and other adolescents and youth. And use mass media campaigns for an open defecation free (ODF) Ethiopia.

List the key documentation and sources used for the analysis:

Relevant references and guidance may include:

- Universal Period Review (UPR) processes and analysis <http://www.ohchr.org/EN/HRBodies/UPR/Pages/Documentation.aspx>
- OHCHR country reports www.ohchr.org
- EU Human Rights Strategies
- Human Rights periodic reporting and Treaty Bodies monitoring of human rights in member states www.ohchr.org/EN/HRBodies/Pages/TreatyBodies.aspx
- International and regional human rights and HRBA principles and HRBA Guidance Note of 2013
- Danish Institute of Human Rights (DIHR) Guide to understand the interlinkages between human rights and the SDGs <http://sdg.humanrights.dk>
- World economic forum gender equality index: (<https://www.weforum.org/reports/gender-gap-2020-report-100-years-pay-equality>)
- World Bank Human Capital Index (<https://www.worldbank.org/en/publication/human-capital>)
- World Bank Women, Business & the Law (<https://wbl.worldbank.org/>)

Gender transformative approach

- Care: Measuring Gender Transformative Change: https://care.org/wp-content/uploads/2020/05/working_paper_aas_gt_change_measurement_fa_lowres.pdf
- PlanBørnefonden: Our Gender Transformative Approach, tackling the root causes of gender inequality: <https://plan-international.org/eu/blog-alex-munive-gender-transformative-approach>
- ODI: Knowledge to Action resource series: adolescent girls and gender norms: <https://www.odi.org/knowledge-action-resource-series-adolescent-girls-and-gender-norms>
- Beam Exchange: The social norms factor: How gendered social norms influence how we empower women in market systems development: <https://beamexchange.org/resources/797/>
- UNICEF Everybody Wants To Belong: A practical guide to tackling and leveraging social norms in behavior change programming <https://www.unicef.org/mena/everybody-wants-to-belong>
- 2020 Human Development Report: Tackling social norms- a game changer for gender inequalities: http://hdr.undp.org/sites/default/files/hd_perspectives_gsni.pdf
- Understanding Masculinities: <https://promundoglobal.org/resources/understanding-masculinities-results-international-men-gender-equality-survey-images-middle-east-north-africa/?lang=english>

Are additional studies/analytic work needed? How and when will it be done?

No additional studies or analytical work required. It is, however crucial, that during implementation the programme management maintain attention and focus on the above discussed issues and ensure appropriate actions are taken to ensure that building capacity among youth is critical in terms of the overall sustainability of the programme.

5. Inclusive sustainable growth, climate change and environment

Summarise key conclusions from the analyses and implications for the strategic frameworks/programs/projects regarding each of the following points:

Over the last decade, Ethiopia has experienced significant economic growth and lifted millions out of poverty. Albeit this improvement, central development issues persist in the water and sanitation-area: the country faces continuous population growth with rapid urban growth, which are putting increasing pressure on the population's access to water, sanitation and hygiene (WASH) services.

UNICEF Ethiopia's WASH programme is highly focused on climate resilient options. UNICEF is developing a deeper groundwater resources (as opposed to shallow and surface water), a push towards electrification (renewable energy). The use of solar power for water pumping is becoming increasingly

common in Ethiopia, and UNICEF's aim is to convert all schemes, where practicable, from unsustainable expensive to maintain and run fossil fuel pumps. Further climate resilient initiatives include the development of Water Safety Plans at all schemes, to ensure the water is used sustainably, and climate responsive sanitation.

UNICEF Ethiopia WASH uniformly conducts ESIA's before the construction of any new water scheme. For the rehabilitation of existing water schemes, post-construction ESI audits can be carried out. The ESIA format used by UNICEF Ethiopia follows the strictest guidelines as set by the Government of Germany and the World Bank. The ESIA process also includes aspects of land ownership, conflict sensitivity.

Relevant references and guidance may include:

- World Bank Systematic Country Diagnostics: <https://openknowledge.worldbank.org/handle/10986/23099>
- Climate change: Intended Nationally Determined Contributions, national climate change or disaster risk management policies or strategies, NAMA or low carbon development plans, national adaptation planning (NAPAs, NAPs), etc.
- Environment and sustainable development: green growth strategies / actions plans, National Environmental Action Plans, State of the Environment Reporting, relevant sector studies and Strategic Environmental Assessments.
- Other development partners' climate change or environmental assessments and country profiles
- Care report calls for gender transformative response to climate displacement: <https://careclimatechange.org/new-care-report-calls-for-urgent-gender-transformative-response-to-climate-displacement/>
- Introduction to gender and climate change: <https://unfccc.int/gender>

Are additional studies/analytic work needed? How and when will it be done?

A research study is currently underway to assess the potential risks and negative impacts of increasing water availability in drought prone marginal grazing lands, and can be shared on completion, later in 2021.

6. Capacity of public sector, public financial management and corruption

Capacity of the public sector for policy making, enforcement and service delivery

Ethiopia's public sector is challenged by lack of know-how and human resources in relevant public and private institutions. Currently, international development organizations and donors take on this role in many cases.

Among high level officers and decision makers it is often found that many are technically very skilled which is indicating that they have a technical training background. When it comes to management skills, they often have no proof of training in this aspect. Hence executive decision may often be based on experiences – business as usual – rather than from an economically and strategically founded viewpoint. However, in order to create a sustainable path moving forward, there is need for having the knowledge in house, to be able to navigate and plan long-term.

UNICEF is currently supporting the GoE with their technical and management resources for implementing the One WASH strategy. UNICEF is a highly recognized multilateral organization, with global expertise in financial management and WASH implementation.

The UNICEF Ethiopia WASH will also contribute to the development of a stronger public sector with better coordination and technical expertise around WASH. The first outcome of the programme is to strengthen the knowledge sharing and coordination of the different public institutions engaged in the One Wash strategy.

Corruption situation

Ethiopia ranks #114 of 180 countries on Transparency International's Corruption Perceptions Index 2018.

List the key documentation and sources used for the analysis:

- World Bank Systematic Country Diagnostics: <https://openknowledge.worldbank.org/handle/10986/23099>
- Development-partner assessments of procurement quality, etc.; WB CPIA assessments
- SDG 16 targets <https://www.un.org/sustainabledevelopment/peace-justice/>
- National reports from the Ministry of Finance, national audit institutions, Ombudsman institutions as well as reports from national or international organizations, think tanks, and academia as well as media reports.
- National and development-partner documents on public-sector reforms; PFM reform-related documents; PEFA assessments;
- Corruption assessments based on an analysis of corruption cases from national anti-corruption agencies as well as reports on perceptions of corruption (barometer reports e.g. from Transparency and Afro-barometer), World Bank/IMF assessments and NGO (e.g. budget monitoring reports) and media reports.
- Assessments of corruption in the value chains at sector level
- Financing for gender equality: <https://www.genderingdevelopment.net/gender-responsive-financing.html>
- UNWOMEN on gender responsive budgeting: <https://gender-financing.unwomen.org/en>
- Transparency International and local corruption assessments (corruption diagnostics and barometer reports, etc.)

Are additional studies/analytic work needed? How and when will it be done?

List additional studies that might be carried out as part of the preparation phase, including studies that will be carried out jointly with others or by partners/other donors.

No.

7. Matching with Danish strengths and interests, engaging Danish actors and seeking synergies

Summarise key conclusions and implications for the country strategic frameworks/ programs /projects:

The UNICEF Ethiopia WASH Programme is fully in line with Danish development priorities as articulated in the Danish Government's Development Priorities for 2021, the Danish Minister For Development Cooperation's four-year strategy 2019-2023, and the Danish Strategy for Development Cooperation, "The World We Share".

Additionally, this programme will support the global 2030 agenda, and especially the achievement of SDG 6 in Ethiopia, and foster the multilateral cooperation with the dual mandate of UNICEF in humanitarian and development work.

The Danish contribution to Ethiopia's WASH-sector will help initiate a new strategic sector collaboration in the water sector between the Danish Embassy, the Danish and Ethiopian authorities. This significant contribution of up to DKK 200 million over the next 4,5 years, to WASH in Ethiopia shows Denmark's commitment, and kick-start Denmark's strategic engagement in the WASH sector in Ethiopia. This will enable establishing contacts and recognition and foster the development of the government-to-government cooperation between the Danish Embassy, the Danish Environmental Protection Agency and MoWIE.

Commercial opportunities

The Ethiopian market has some challenging framework conditions but has a large potential for Danish solutions.

Danish companies have a stronghold with water technology, which can benefit urban and rural population in Ethiopia. In addition to this Danish companies have developed tailored solutions for rural and humanitarian areas such as solar driven water pumps.

In addition to this, Danish companies are amongst the top 10 suppliers to the UN system and the fifth largest supplier to UNICEF (USD 927 million in 2019).

This program could also add synergies to existing activities of other instruments, such as P4G, GGGI, C40, NCE, DSIF. Partnerships in Ethiopia are also currently supporting WASH projects, such as the [Finance for WASH Access](#), and the [FINISH Mondial](#) partnerships.

Assessment of the donor landscape and coordination, and opportunities for Denmark to deliver results through partners including through multilaterals and EU.

The UNICEF Ethiopia WASH programme is supported by a large number of donors, mainly other EU partners. By supporting an existing programme Denmark will leverage on the existing multilateral work of UNICEF and their expertise within development and humanitarian WASH services. By entering into the WASH sector multi- and bilaterally, Denmark will also take an active part of the WASH group under DAC in order to further explore synergies.

Are additional studies/analytic work needed? How and when will it be done?
List additional studies that might be carried out as part of the preparation phase, including studies that will be carried out jointly with others or by partners / other donors.

No.

Programme justification related to OECD DAC criteria⁴⁶

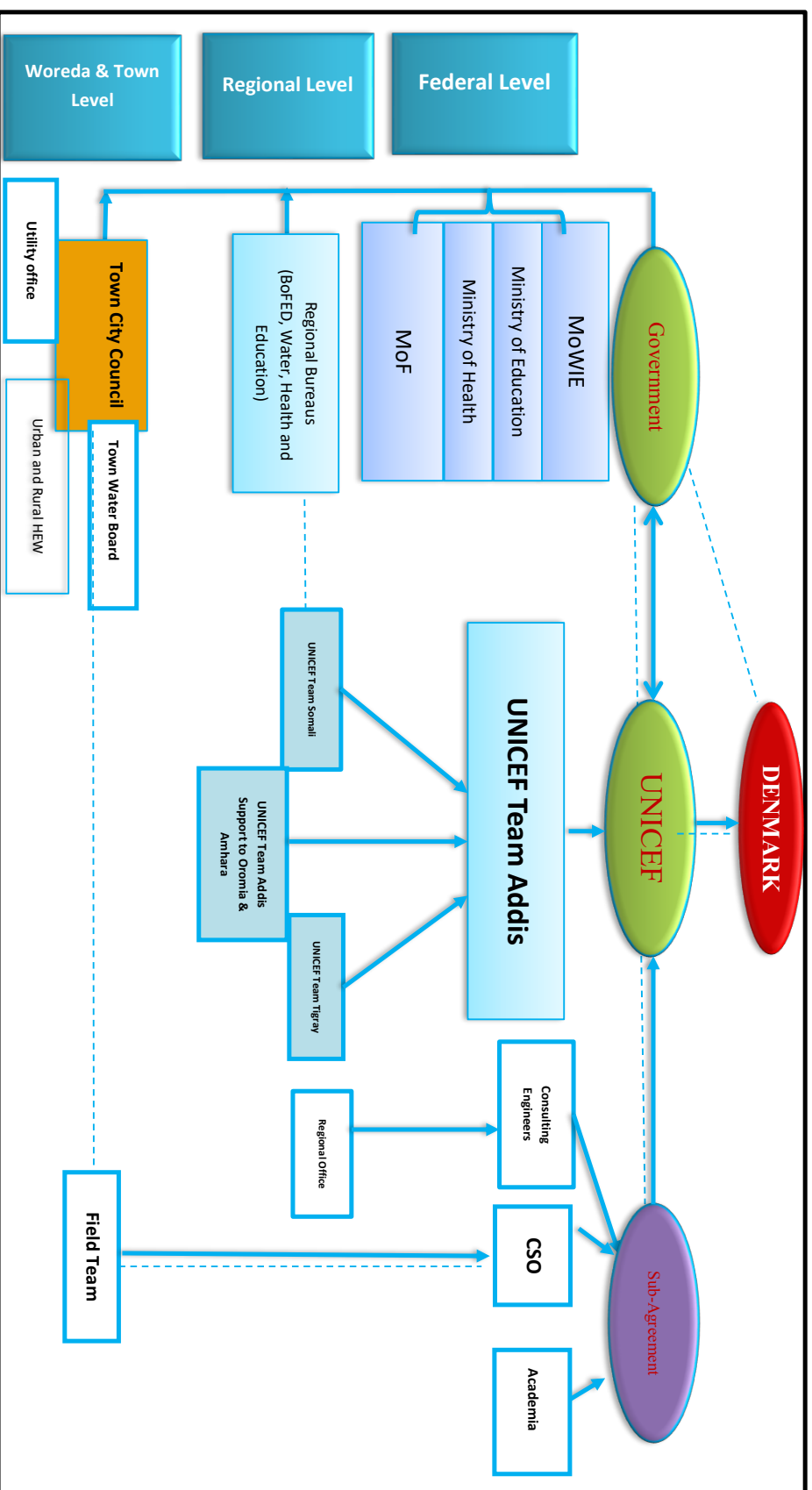
Criteria	Justification
Relevance	<p>The UNICEF Ethiopia WASH Programme is considered highly relevant to respond to the WASH needs in Ethiopia, where close to 33 million people lack access to a safe water supply and nearly 89 million do not have access to basic sanitation.</p> <p>Additionally, the WASH programme is directly aligned to and supportive of the Ethiopian Climate Resilient Green Economy Strategy (CRGE) which is a development strategy that aims at protecting the country from the adverse effects of climate change and to build a green economy that will help realise its ambition of reaching low middle-income status before 2025.</p> <p>The UNICEF Ethiopia WASH Programme is already supporting the initiative of the government under the ONE WASH National Programme (OWNP), contributing directly to the WASH objective of Ethiopia. This programme matches the strategic engagement of Denmark with the WASH agenda in Ethiopia. This programme will complement the upcoming government-to-government collaboration on water, and strengthen the development and climate collaboration between Denmark and Ethiopia.</p> <p>The programme is also highly relevant to the global sustainable development agenda, including SDG 6, SDG 13 and several other SDGs as well as to the Paris Agreement on Climate Change.</p>
Internal and external coherence	<p>This programme has interlinkages to other activities being carried out by other government institutions in the sector (internal coherence). Especially the Ten Years Perspective Development Plan (2021-2030), the Ethiopian Climate Resilient Green Economy Strategy (CRGE) as well as Ethiopia's One WASH National Programme (OWNP).</p>

⁴⁶ Justification for Danish support to the proposed programme in relation to the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) Criteria. The OECD DAC has defined six evaluation criteria, which serve as the reference frame for evaluating international cooperation projects and programmes and which are also a useful reference for the justification of the programme, as reflected in the table below.

Criteria	Justification
	Coordination with other UN agencies and other international organisations working with WASH projects in Ethiopia and in the neighbouring countries will contribute to coherence at a regional level and at the global level under the SDG framework, especially SDG 6.
Efficiency	In the last and previous UNICEF country programme periods (2012-2016, 2016-2020), the WASH section exceeded its goals and targets through leveraging additional resources. UNICEF was instrumental in supporting Ethiopia to meet the MDG goal for water coverage in 2015, and in setting up the successful SWAp, the OWNPN, which has been studied and replicated by several countries.
Effectiveness	The programme is building on an already existing programme that has had successful results over many years. As the key trusted partner of the GoE in WASH, UNICEF has a unique and valuable position for contributing to and influencing national strategies and implementation. Earlier reviews of this approach have concluded that processes and structures have been built which enable the partners towards achievement of the overall objectives.
Impact	Access to WASH central element for enabling economic development, reducing poverty and increasing health standards. Many health issues faced by the poor arise because of the consumption of contaminated water. Increased availability of basic water and sanitation services can aid in general public health and assist in reducing health care costs and enabling a productive economy. The COVID-19 pandemic underlines the importance of access to WASH for reducing the health and socio-economic risks caused by infectious diseases. Gender inequality is highly salient to WASH. Access to safe drinking water and the elimination of open defecation are inherently gendered goals. Women and girls are disproportionately affected by a lack of clean and enough water, safe and clean toilets and soap for washing. Hauling the water their families need takes up a large proportion of the time of women and girls time that could otherwise be spent on learning, income generating or other activities. Likewise, women and girls are disproportionately affected by a lack of clean and enough water, safe and clean toilets and soap for washing. Those who lack toilets at home, schools and health facilities risk indignity, harassment, sexual assault and threats to their health. The WASH Programme will implement gender responsive programming to ensure that women, men, girls and boys participate in, and equitably benefit from all WASH initiatives. Gender analysis will be an integral element of all assessments so that water, sanitation and hygiene actions are informed by evidence on the specific needs and vulnerabilities of women and girls both in development and humanitarian context. The role of girls and women in promoting sanitation will be leveraged.
Sustainability	The UNICEF Ethiopia WASH programme is at the forefront of Climate Resilient WASH initiatives in Ethiopia. UNICEF initiated and supported the One WASH National Programme to develop the CR-WASH strategy of the OWNPN, which has led to a strong national focus on deeper groundwater resources (as opposed to shallow and surface water), a push towards electrification (renewable energy) and solarisation of water schemes wherever possible. The use of solar power for water pumping is becoming increasingly common in Ethiopia, and UNICEF's aim is to convert all schemes, where practicable, from unsustainable fossil fuel pumps, which are expensive to maintain and run. Solar-driven pumps will in addition drive down the O&M costs of water schemes, thus making water schemes more cost-efficient to run after project termination – and thereby benefiting end-users. Further CR WASH initiatives include the development of Water Safety Plans at all schemes, to ensure the water is used sustainably, and climate responsive sanitation. Another strong CR component work of UNICEF Ethiopia is Environmental and Social Impact Assessments (ESIA) which are undertaken to screen, assess, and manage the potential social and environmental implications of UNICEF programmes. The objectives of the ESIA's are to; <ul style="list-style-type: none"> • Identify potential social and environmental risks and their significance, • Determine the project's risk category (low, moderate, high); and • Determine the level of social and environmental management actions required to address potential risks and impacts <p>UNICEF will also, in partnership with academia, private sector and civil society, continue to support sustainability checks to assess different sustainability factors of the services provided. UNICEF will assess results of the professionalization of rural water supply utilities, impacts of power sources in water tariffs, consumption and sustainability. The impact of water projects on the social life of people and the environment will be carried out and action points will be drawn from these studies.</p>

ANNEX 2: PARTNER ASSESSMENT

1. Brief presentation of partners



The following are main stakeholders and their main role in the project:

Beneficiaries: The people of Ethiopia in all the Regions will be the main stakeholders of the project who will be participating in all stages of the project on surveys, development of realistic activities and a joint implementation plan.

Government Ministries: Ministries of Water, Health, Education, Urban Planning and Construction and Finance will be key stakeholders of the programme taking the lead role on coordination, implementation and monitoring and evaluation of public awareness campaigns including cost sharing of the project. The main partner for UNICEF WASH is the national SwaP, the One WASH National Programme, led jointly by the Ministries of Water, Health and Education.

Regional Governments and Sector Bureaus: At the Regional level, the Regional Administration and Technical Bureaus will be involved in the project implementation and selection of project locations based on vulnerabilities with a strong focus on equity. These are the Bureaus of water, health and education.

Schools Administration and School Teachers: School teachers and school administration will be key stakeholders mainly on designing and implementing activities in their respective schools.

Private Sector: The private sector will be a stakeholder of the project at all levels. The private sector will be involved on surveys (e.g. Water), designing of awareness creation campaigns (e.g. Population Media Centre), promotion of water supply and sanitation equipment (e.g. Lixil), and provision of content for TV and Radio engagement (e.g. Girl Effect). Private sector companies are often hired as service providers to complete specific tasks, for example construction works, ESIA's, studies and surveys, for which competitive tenders would be launched. In addition, the private sector will also be involved in sponsoring awareness events and promotion activities.

Academic institutions: Academic institutions working in the water and sanitation sector and public health will be involved in the programme mainly on surveys and designing of researches as well as application of innovation. In the past, UNICEF has worked with the relevant departments in Addis Ababa, Jimma, Bahir Dar, Mekelle and several other Universities.

NGOs and CSOs: NGOs and CSOs will be key programme partners based on their strong community linkages and engagement approaches. They will also be involved in the designing of awareness campaigns and support on the implementation of the project at all levels where available depending on the specific situation of different activities and their capacity. Current and previous partnerships have been made with Oxfam, PSI, PMC, World Vision, BBC Media Action, IRC, Save the Children, the Ethiopian Red Cross and many others.

2. Summary of partner capacity assessment

Relevant Government ministries

- WASH Sector Ministries of Water, Health, Education (One WASH National Programme partners), Urban Planning and Construction, Finance.
- Respective Regional Bureaus.

Civil Society Organisations:

- International NGO's
- National NGO's

These will be selected based on their unique relationships with the communities and the value they will add to the overall attainment of results

Private Sector Service Providers

UNICEF has a robust and transparent procurement process for service providers. Specific Terms of references will be developed, and open calls made for technical and financial bids, with very clear criteria and marks for the evaluations. Following technical and financial evaluations awards are made to the most realistic and feasible bidder with value for money principles. Some of the private sector practitioners to be engaged will include;

- Specialised Consultancy Firms – International and National Joint Venture
- Engineering Study/Design Companies
- Construction supervision companies
- Borehole drilling firms
- Electromechanical (Pumps, Generators etc) – Supply and Installation of equipment

Academia:

Engagement with academia will be essential for studies, researches and the application of innovation in programming.

3. Summary of key partner features

Name of Partner	Core business	Importance	Influence	Contribution	Capacity	Exit strategy
Main partners of the OWNP: MOWIE, MoH and MOE.	MOWIE/WIDC* – Water supply and urban sanitation	High – UNCEF is a crucial lead agency with supporting technical knowledge and capacity	High – full joint ownership and acceptability is needed for success	Overall leadership of the OWNP, strategy and policy development, national training	Technical, managerial capacity gaps plus frequent turnover of staff	The Ministry will fully lead and finance climate resilient Water supply in Ethiopia
Ministry of Health	MoH – All aspects of health care. Hygiene, environmental health, rural sanitation, WASH in HCFS	High – UNICEF is a crucial lead agency with technical knowledge and capacity	High – full joint ownership and acceptability is needed for success	Leadership on the Sanitation Campaign, monitoring of progress, national training	Technical, managerial capacity gaps plus frequent turnover of staff	UNICEF will support to a level where sanitation is sufficiently addressed and gradually withdraw
Ministry of Education	MOE – Education at all levels. WASH and MHH in schools	Medium – WASH is not the key partner of MOE	Medium – WASH is not the key partner of MOE	Leadership on WASH in schools, monitoring of progress	Technical, managerial capacity gaps plus frequent turnover of staff	UNICEF will support to a level where WINS is sufficiently addressed and gradually withdraw
Regional partner institutions, e.g. BoFED, RWBs, RHBS, REBS	Manage all aspects of regional implementation of their Ministries strategies	High – All regional bureaux are key partners for the implementation of programmes and dissemination down to districts	High – full joint ownership and acceptability is needed for success	Regional technical review and approval of all programmes, monitoring of progress, regional training	Technical, managerial capacity gaps plus frequent turnover of staff, logistical issues eg lack of transport	Recruitment of TA to support in ongoing implementation to build in-house capacity
Public / private institutions in Ethiopia Eg Ethiopian Water Technology Institute (EWTI)	EWTI is the technical training and capacity building arm of MOWIE – building strength for drilling, operation and maintenance of WASH schemes	Medium	Medium – as the practical arm of the MOWIE, has influence with management.	EWTI is supporting with both drilling capacity and long-term support for scheme management eg rural utilities	Financial for operation – alisation of training plans	Supporting capacity for building income generation activities
Academic institutions	Training and research	Low	Low	Studies and research	n/a	n/a
NGOs / CBOS eg Population Services International (PSI)	PSI is an NGO specialising in social marketing	Medium	Low	PSI support with social marketing for sanitation	n/a	n/a
Other multilateral organisations, Eg WHO	INGO for global health	Low	Low	Main partner on hand hygiene and WASH in health care facilities	n/a	n/a

*The Water Development Commission (WDC) is the body within MOWIE which manages WASH issues.

ANNEX 3: THEORY OF CHANGE SCENARION AND RESULTS FRAMEWORK

3.A: Results Framework for Programmes⁴⁷

Programme		Danish support to UNICEF Ethiopia's WASH programme	
Programme Objective		By 2025, children and their families in rural, urban and refugee areas have increased equitable access to and use safe, affordable and sustainable, water and sanitation services and appropriate hygiene practices at household, community and institution levels.	
Impact Indicator		Proportion of population using basic water service (2021: TBD) Proportion of the population using basic sanitation service (2021: TBD) Proportion of the population practicing open defecation (2021: TBD)	
Baseline	Year	2021	TBD
Target	Year	2025	a. 65% b. 35% c. 10%

Project Title 1		WASH sector coordination and knowledge management	
Outcome 1		By 2025, Ethiopia's National and Regional government mechanisms and systems are strengthened to legislate, plan, coordinate and budget for gender responsive, equitable, inclusive, resilient and safely managed WASH services in development and humanitarian situations.	
Outcome indicator		[Ongoing development of an overarching outcome indicator that summarises the output indicators below] a. WASH Policies in place b. regulatory frameworks functioning c. adequacy of funding for WASH services provided	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	TBD
Output 1.1		Existence of WASH sector monitoring, evaluation and learning mechanism	
Output indicator (woreda level)		a. No. of weredas with proper management systems for WASH activities and results. b. No. of weredas with WASH baseline data.	
Baseline	Year	2019	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 52 b. 52
Output 1.2		Existence of functioning sector coordination mechanism for WASH for development and humanitarian coordination.	
Output indicator (national level)		a. No. of regions with regular sector coordination mechanisms b. No. of WASH sector coordination forums at national level	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 9 b. 15
Output 1.3		Existence of sector regulation and accountability mechanisms for WASH.	
Output indicator (national level)		a. No. of WASH sector working groups established/revitalized and functional. b. No. of Annual reports and study documents published.	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 36 b. 7

Project Title 2		End open defecation	
Outcome 2		By 2025, communities (Kebeles) in all parts of the country have increased capacity to end open defecation, practice appropriate hygienic behaviour (HWWS) and use basic inclusive and gender responsive sanitation service	
Outcome indicator		[Ongoing development of an overarching outcome indicator that summarises the output indicators below] Suggestion: Proportion of the population practicing open defecation	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	10%
Output 2.1		Communities practicing open defecation	
Output indicator		a. No. of National campaigns launched and sustained. b. No. of Regional campaigns. c. No. of communities certified free of open defecation.	
Baseline	Year	2021	a. 0 b. 0 c. 0
Target	Year 6	2025 (Jan-June)	a. 3 b. 27 c. 572

⁴⁷ Indicator targets are yet to be finalized. RDE is awaiting detailed targets from UNICEF, which have been designed to reflect the size of the Danish contribution.

Output 2.2		Access to basic sanitation services	
Output indicator		a. No. of HHs who gained access to basic sanitation services. b. No. of sanitation facilities constructed in areas where there is minimum/no risk of flooding and/or constructed with flood protection structures that can protect extreme flood (CR). c. Proportion of latrines constructed with maximized safety, privacy, and dignity of women (GBV). d. No. of HHs who are provided with necessary materials and technical support to construct their own improved latrine.	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0
Target	Year 6	2025 (Jan-June)	a. 137,280 b. 109,824 c. 123,552 d. 64,522

Project Title 3		Rural WASH	
Outcome 3		By 2025, children and families in rural areas have increased equitable access to basic, inclusive and climate resilient WASH services, including in humanitarian situations.	
Outcome indicator		[Ongoing development of an overarching outcome indicator that summarises the output indicators below] Number of rural households (adults and children) practising appropriate WASH standards by administrative unit (village, district, zones)	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	TBD

Output 3.1		Rural access to sustainable drinking water service	
Output indicator		a. No. of WASHCO's/utilities established (revitalized) and trained. b. of WASHCO's/utilities operational and able to manage their WS systems. c. No. of people provided with basic water supply services. d. No. of Water Supply sources that can sustain extreme and recurrent drought (CR). e. No. of Water supply schemes that use green and clean energy for water pumping system (CR). f. No. of Water supply schemes with minimum/no risk of flooding and/or constructed with flood protection structures that can protect risky flooding (CR). g. No. of water points located in areas that are accessible and safe for all, with special attention to the needs of women and children (GBV). h. No. of women, girls and boys accessing GBV risk mitigation, prevention or response interventions. i. No. of people with access to safe channels to report sexual exploitation and abuse.	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0 e. 0 f. 0 g. 0 h. 0 i. 0
Target	Year 6	2025 (Jan-June)	a. 102 b. 102 c. 500,000 d. 92 e. 82 f. 92 g. 92 h. 250,000 i. 250,000

Output 3.2		Menstrual Hygiene Health Management in rural schools	
Output indicator		a. No. of schools with Menstrual Hygiene Health Management system. b. No. of schools with safe spaces and supplies for Menstrual Hygiene Health Management. c. No. of school WASH services that have separate blocks for girls and boys (GBV). d. Proportion of girls that use latrine in schools as compared with boys (GBV).	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0
Target	Year 6	2025 (Jan-June)	a. 62 b. 62 c. 50 d. 100%

Output 3.3		Rural knowledge promotion on hygiene practice	
Output indicator		a. No. of HHs provided with hygiene promotion by health worker/s on proper use of sanitation, hand and face washing including baby WASH. b. No. of hand washing facilities provided that are found to contain soap and water. c. No. of target communities that dispose of their solid waste through environmentally and socially appropriate disposal mechanisms	

Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0
Target	Year 6	2025 (Jan-June)	a. 624,000 b. 499,200 c. 499,200 d. 624,000

Project Title 4		Urban WASH and Refugees	
Outcome 4		By 2025, children and families in urban and refugee areas have increased equitable access to basic, inclusive and climate resilient WASH services including in humanitarian situations.	
Outcome indicator		[Ongoing development of an overarching outcome indicator that summarises the output indicators below] Number of urban and refugee households (adults and children) practising appropriate WASH standards by administrative unit (district, urban centre, zones)	
Baseline	Year	2021	TBD
Target	Year	2025 (June)	TBD
Output 4.1		Capacity building of WASH services in urban and refugee areas	
Output indicator		a. No. of feasibility studies and designs. b. No. of baseline and endline surveys conducted. c. No. of equipment, tools and materials provided for towns/refugee centers.	
Baseline	Year	2021	a. 0 b. 0 c. 0
Target	Year 6	2025 (Jan-June)	a. 2 b. 4 c. 2
Output 4.2		Urban and refugee access to sustainable drinking water service	
Output indicator		a. No. of people in town/s provided with basic water supply. b. No. of refugees and host communities provided with basic water supply.	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 23,370 b. 34,927
Output 4.3		Urban and refugee access to basic sanitation services	
Output indicator		a. No. of people in town/s provided with basic sanitation services. b. No. of refugees and host communities provided with basic sanitation services.	
Baseline	Year	2021	a. 0 b. 0
Target	Year 6	2025 (Jan-June)	a. 23,370 b. 34,927
Output 4.4		Menstrual Hygiene Health Management for schools in urban areas, refugees and host communities	
Output indicator		a. No. of schools with Menstrual Hygiene Health Management system. b. No. of schools with safe spaces and supplies for Menstrual Hygiene Health Management. c. No. of school WASH services that have separate blocks for girls and boys (GBV). d. Proportion of girls that use latrine in schools as compared with boys (GBV).	
Baseline	Year	2021	a. 0 b. 0 c. 0 d. 0
Target	Year 6	2025 (Jan-June)	a. 3 b. 3 c. 3 d. 100%

3.B: Emergency WASH Results Framework

Emergency WASH funds will be allocated following the adaptive management principles depending on the needs of the programme. The programme budget has set 12% unallocated funds earmarked to Emergency WASH activities, and/or further needs under Outcome 3 and Outcome 4. Fund allocated to Emergency Wash will follow the following results framework:

UNICEF WASH Output indicator	Intermediate Result (IR)	Indicators	Indicator Type	Disaggregation	Regions	Unit
Provision of water supply for humanitarian response (Life saving)	People in emergency affected are provided with life saving WS services through water trucking, water treatment chemicals and emergency WS kits	# of people provided with water supply through water trucking	Service Delivery	NA	AF, AM, BG, GB, OR, SN, SD, SM, TG	Studies
		# of HHS provided with water treatment chemicals for a period of at least three months	Service Delivery	NA	AF, AM, BG, GB, OR, SN, SD, SM, TG	baseline/ endline surveys
		# of HHS provided with essential emergency WS kits (buckets/Jericans)	Service Delivery	NA	AF, AM, BG, GB, OR, SN, SD, SM, TG	Set
Provision of water supply for humanitarian response (Durable solutions)	People living in emergency affected areas are provided with durable WS services of rehabilitation of existing WS systems and provision of materials required for maintenance	# of people provided with water supply through rehabilitation and extension of existing WS schemes	Service Delivery	M, F, Age	AF, AM, BG, GB, OR, SN, SD, SM, TG	People
		# of WS systems rehabilitated through material support	Service Delivery	M, F, Age	AF, AM, BG, GB, OR, SN, SD, SM, TG	People
		# of HHS provided with emergency hygiene kits	Service Delivery	M, F, Age	AF, AM, BG, GB, OR, SN, SD, SM, TG	People
Emergency sanitation and hygiene activities	People living in emergency affected areas are provided with sanitation and hygiene services through promotion of key hygiene messages and provision of emergency hygiene kits.	# of peoples provided with hygiene education by health professionals	Service Delivery	M, F, Age	AF, AM, BG, GB, OR, SN, SD, SM, TG	People
		# of institutions provided with WASH facilities and services (schools, HFS)	Service Delivery	M, F, Age	AF, AM, BG, GB, OR, SN, SD, SM, TG	People
		# of regions provided with capacity building support for emergency preparation and response	Service Delivery	NA	AF, AM, BG, GB, OR, SN, SD, SM, TG	Schools
Project follow-up and capacity building	Capacity is enhanced and proper follow-up is carried out to plan, implement and monitor emergency response activities	# of emergency preparedness and response plans and reports prepared	Service Delivery	NA	AF, AM, BG, GB, OR, SN, SD, SM, TG	Schools

3.C: Climate Resilience WASH Indicators

No	Proposed Indicator	Reporting	Data Source
1	# of Water Supply sources that can produce water even at times of extreme and extended drought	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists
2	# of Water supply schemes that use green and clean energy for water pumping	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists
3	# of Water supply schemes constructed in areas where there is minimum/no risk of flooding and/or constructed with flood protection structures that can protect the system from extreme flooding.	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists
4	# of sanitation facilities constructed in areas where there is minimum/no risk of flooding and/or constructed with flood protection structures that can protect the system from extreme flooding.	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists

3.D: Gender Based Violence (GBV) Indicators

No	Proposed Indicator	Reporting	Data Source
1	Proportion of latrines constructed maximized safety, privacy and dignity of women	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists
2	# of school WASH services that have separate blocks for girls and boys.	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists
3	Proportion of girls that use latrine in schools as compared with boys	End of project	Endline survey
4	# of water points located in areas that are accessible and safe for all, with special attention to the needs of women and children.	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists
5	# women, girls and boys accessing GBV risk mitigation, prevention or response interventions	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists
6	# people with access to safe channels to report sexual exploitation and abuse	Bi-Annual	Progress report as verified by UNICEF programme officers/specialists

3.E Score Card for Monitoring the Enabling Environment (Outputs 1.1, 1.2, 1.3 and 2.1)

Output	Indicator	0-10	Score - 0	Score - 2	Score - 4	Score - 6	Score - 8	Score - 10
11	Existence of WASH sector monitoring, and learning mechanism	Devel + Human.	No existing sector monitoring, evaluation and learning system	Annual reporting of achievements exist based on One WASH reporting	Score 2 + WASH inventory updated every year	Score 2 & 4 + Evaluation of WASH implementation exists and management action conducted to at least 80% of the findings	Score 2, 4 & 6 + WASH MIS exists for water and sanitation and annually updated	Score 2, 4, 6, 8 + Real time WASH MIS exists for water and sanitation
12	Existence of sector coordination mechanism for WASH development humanitarian coordination.	Human. Fed.	Sector coordination system exists at national level only	Sector coordination system exists at national and regional levels	Score 2 + Sector coordination system exists at national and regional levels and regular information is analyzed with emergency preparedness contingency planning	Score 2 & 4 + Existing sector coordination mechanisms track end-users use of services and supplies	Score 2, 4 & 6 + Sector coordination mechanisms able to support capacities and durable solutions are linked with development interventions	Score 2, 4, 6, 8 + Sector coordination mechanisms able to work on mitigation and adaptation of hazards including climate related risks
13	Existence of sector regulation and accountability mechanisms for WASH	Devel + Human.	Sector regulation and accountability mechanism doesn't exist	Sector regulatory mechanism exists for water supply and sanitation and hygiene only	Score 2 + Sector regulatory mechanism exists for both water supply and sanitation and hygiene	Score 2 & 4 + Sector regulation is effective to develop standard quality assurance and legislation	Score 2, 4 & 6 + Existing sector regulations and quality assurance systems are enforced and monitored at national level	Score 2, 4, 6, 8 + Existing sector regulations and quality assurance systems are enforced and monitored at national and regional levels
2.1	National Strategy to eliminate open defecation with a systemic approach to gender.	Devel + Human.	National level strategy with a systematic approach to end OD not available	National level strategy to eliminate OD exists but not with systematic approach to gender	Score 2 + OD strategy is implemented at national level and in all regions and followed-up/monitored regularly	Score 2 & 4 + OD strategy is implemented at national level and in all regions with systematic approach to gender implementation followed-up/monitored regularly	Score 2, 4 & 6 + National strategy and web-based real time monitoring system exists and applicable to all regions with monitoring of gender-based data disaggregated by place of residence	Score 2, 4, 6, 8 + National strategy to end open defecation resulted in equally benefiting women and girls in all region and places of residence

3.F: Explanatory Notes to the ToC Figure

From activities to outputs and outcomes:

The experience and expertise from UNICEF's previous WASH activities will be applied to contribute to the four main outcome areas by delivering on a number of supportive outputs:

- Existence of water, sanitation and hygiene sector monitoring, evaluation and learning mechanism. Existence of functioning sector coordination mechanism for water, sanitation and hygiene for development and humanitarian coordination. Existence of sector regulation and accountability mechanisms for water, sanitation and hygiene. Development and recurrent budgets for water supply, sanitation and sewerage systems (where appropriate) – and possibly also solid waste management – the population growth rate is high, particularly in urban settings.
- The implementation and adherence to a national strategy to eliminate open defecation with a systemic gender approach.
- Improved WASH access in rural areas combined with knowledge promotion and awareness raising on hygiene practices.
- Improved WASH access in urban areas, integration of WASH services for refugee and host communities as well as knowledge promotion on hygiene practices.

From outcomes to impacts:

The outcomes will combine to strengthen Ethiopia's WASH infrastructure, sector coordination and knowledge sharing as well as behavioural changes. These will contribute to:

- Stronger Ethiopian government structures, institutions and systems thereby enabling access to WASH (SDG 6).
- Increased awareness of health and sanitation issues.
- Higher sensitivity to unequal access across e.g., gender and rural/urban divisions
- Increased equitable usage of water and sanitation services
- Together, these impacts will directly contribute to Ethiopia's One WASH strategy with focus on increasing equitable access for all people. Ethiopia will thus be in a better position to meet the national WASH targets and thus contribute to achieve SDG6 and SDG13 targets.

Impact drivers and assumptions:

A key driver for the programme is and will be the continued high-level political commitment and support for WASH targets. The One WASH programme has been in place since 2013 and supporting institutions (such as the CWA) have been created to ensure its implementation. Political support and prioritisation of the WASH sector will therefore help drive the wider sector approach that can support the objectives of the UNICEF programme.

The Theory of Change for the Programme will also be based on the key assumptions that socio-economic and political reforms will continue in Ethiopia. The current conflict in the norther part of Ethiopia and the political instability will be closely monitored and mitigated. However, it is the main assumption that water and sanitation access - regardless - will remain a main priority and need for the country.

As part of the adaptive management approach, ongoing monitoring and evaluation will be ensured to guide programme implementation. Given the politically uncertain environment, building flexibility into the programme will provide opportunities for shifting resources to the most efficient areas of the programme throughout its timeline.

The following is a summary of the assumptions and drivers identified as part of the theory of change.

Box 4.1 Key assumptions and impact drivers

Key Assumptions:

From inputs to activities:

- Existence of an enabling environment to provide the necessary conditions for service providers to deliver services.
- Government capacity and commitments are adequate to deliver and sustain WASH services.
- In the most disadvantaged rural areas, minimum level of capacity exists, and partners are interested in developing their capacity to improving access to clean, safely managed water sources, functional toilets and improved hygiene practices.
- Cooperation partners committed to sustained engagement and willing to allocate staff time and inputs in-kind to engage effectively.
- Management structure sufficiently flexible to allow for quick remedial action when deviations occur. In the dialogue with UNICEF about the management structure of the programme, the DDD Principles and guidance from Guideline on Adaptive Management will be adhered to at both strategic framework and implementation level to secure an adaptive implementation of the programme. This dialogue will bear in mind the existing structures of UNICEF, and the fact that the programme has been agreed upon.

From activities to outputs to outcomes:

- Communities remain open to receiving information and behaviour change messages and understand reasons behind accessing markets for improving latrines.
- Partners share understanding of and commitment to human rights, equity and gender equality.
- UNICEF ability to ensure synergies in a field with many stakeholders.
- Flexibility and continued attention to assumptions and risks during implementation to ensure continued alignment to Ethiopian priority needs in a highly dynamic context.
- UNICEF and GoE effectively coordinates international cooperation.

From outcomes to impact:

- Continued Ethiopian government support for the 2025 and 2030 targets and related policy initiatives despite a complex political economy environment.
- UNICEF ability to strategically support transformational change aligned to Ethiopia's SDG targets and partner policies and strategies.

Impact drivers:

- High-level political commitment and support to meeting WASH targets.
- High-level UNICEF commitment to monitor, evaluate and adapt programme to actual implementation impact.
- Pressure from end-users, WASH sector actors and international actors.
- Effective partner engagement at strategic level and durable partnerships.
- Effective targeted communication at decision makers, from federal to woreda level.

3.G: Overview of Activities under each Outcome

Outcome 1. WASH sector coordination and knowledge management

a) Sector coordination

- Support the development of the OWNPN following recommendations from the 2019 mid-term review and reformulation of the OWNPN.
- Accelerate implementation of the Consolidated WASH Account (CWA) and advocate for additional budget allocations
- Advocate for additional WASH financing from both domestic and Overseas Development Assistance and for innovative funding instruments to increase sectoral investment (e.g. climate finance, blended finance, commercial loans and links to safety nets programmes).
- Support enabling environment initiatives including policy development, Enabling Environment (EE) building blocks analysis and development of key sectors.
- Support inter-ministerial sectoral coordination mechanisms through the Water Sector Working Group (WSWG)-Secretariat, the NWCO and the WASH cluster and ensure clear linkages between humanitarian and development forums.
- Support sector coordination forums and the coordination and communication mechanisms of the different sub-groups.
- Support the organisation of regular Joint Technical Review (JTR) and Multi Stakeholder Forums (MSF).

b) Knowledge management and application

- Scale up deep groundwater mapping, including satellite technology, to identify strategic aquifers in drought prone areas through partnership with specialised organizations.
- Generating data and reports using IT-based digital data collection for accountability and reporting (donor reports, progress reports and RAM) through monitoring of WASH achievements/results for effectiveness and efficiency.
- Support innovative programming through risk informed programme development and knowledge-based decision-making system.
- Coordinate and support water resources studies and other WASH studies to mitigate climate change and other pressures on access to clean, safely managed water, through risk-informed WASH programming.
- Carry out baseline, midline and end-line surveys, studies, spot checks, field trials, to document lessons learnt and evidence for policy dialogues and effective rural and urban WASH programming
- Analyse WASH bottlenecks at various levels (enabling environment, demand, supply and quality); use the findings to produce recommendations and advocate for policy and programme changes to eliminate bottlenecks. Use publications and other dissemination methods for expanding knowledge and advocacy.
- Environmental and Social Impact assessment of proposed and actualised WASH projects.

Outcome 2. End open defecation

- Social and behavioural change communication: Support positive social norms and behavioural change to end open defecation. Sponsor influential champions, role models, religious leaders, and other influencers. Use peer-to-peer approaches that mobilise school clubs and other adolescents and youth. Use mass media campaigns for an open defecation free (ODF) Ethiopia.
- Private sector development: Develop private sector partnerships for social marketing of materials to create a sanitation market and to provide pro-poor sanitation solutions.

- **Planning and Monitoring:** Provide support for planning and monitoring systems for improved sanitation coverage at regional and national levels.
- **Institutional WASH:** Support government to implement a total sanitation approach, owned and implemented by communities, schools and health facilities and based on a mapping exercise which will allow for high priority institutions to be targeted first. This includes compliance with WASH standards and toilet and hygiene promotion in selected health facilities and schools and leveraging public resources to scale up WASH in health facilities, schools, ECD centres and places for alternative learning pathways.
- **Multisectoral approach for effective service delivery:** This will be particularly important for the Flagship Result. Develop and strengthen linkages across sectors for implementation within and beyond UNICEF. Use the Health Extension Programme and workers to promote sanitation and hygiene. Facilitate Baby WASH being taught in antenatal and postnatal clinics. Encourage teachers and school clubs to promote sanitation and hygiene, particularly hand hygiene, and keep toilets clean and functional. Advocate for sanitation and hygiene to be included in the education curricula and in the extra-curricular school clubs. Promote the building and use of improved toilets with handwashing facilities by participants through social protection programmes.
- **Emergency situations:** Ensure directly or through partners' toilets, clean water and hygiene promotion in emergency settings, using designs for sustainability and resilience wherever possible.
- **Leveraging resources and partners:** To achieve the targets, UNICEF will leverage resources from traditional donors and mobilise partners and government institutions including line Ministries at central and decentralised levels for joint planning, budgeting, implementation, monitoring, reviewing and reporting.
- **The private sector will be a key contributor on the scaling up of provision of free sanitation items as well as on market creation.**
- **Targeted implementation:** Priority regions for action are those with the highest populations practising open defecation: Oromia (estimated 7.5 million people), Amhara (estimated 6.6 million people), Somali (estimated 2.8 million people), Afar (estimated 1.8 million people) and Tigray (estimated 1.6 million people).

Outcome 3. Rural WASH

a) Rural Water

- **Resilience:** Address the persistent drought issues in Ethiopia by prioritizing the implementation of climate resilient, environmentally and conflict-sensitive programming to enable access to sustainable water supplies.
- **Conflict-sensitive approach:** ESAs will be conducted for all interventions. UNICEF is working with a conflict-sensitivity and peacebuilding specialist, who provides support for these assessments, and for the development of a “WASH Conflict Sensitivity, Peacebuilding, and Social Cohesion Guidance” tool.
- **Sustainable Management Models:** Implementation of rural utility management model to existing and new water supply systems, with emphasis on peace building/social cohesion within the community-based management systems.
- **Functionality and sustainability:** To improve functionality rates, UNICEF will undertake sustainability checks to monitor improvements.
- **Strengthen capacity for operations and maintenance:** Ensure that regional/woreda water authorities have the technical support and capacity to effectively undertake operations and maintenance of rural schemes.
- **Emergency response:** deliver life-saving WASH package for newly displaced populations (internally displaced and refugees) in line with CCCs and ensure sustainable and conflict-sensitive schemes for prolonged IDPs/refugee settings and relevant host communities.

b) Rural sanitation and hygiene

- **Planning and Monitoring:** Support the regional governments to implement sanitation micro plans and link them to the One WASH national programme reporting.
- **Products:** Support the promotion of sustainable private sector involvement, with public subsidies for the poorest and most vulnerable and selling alternative toilet options at various prices.
- **Local Solutions:** Investigate and promote locally developed alternatives for basic-plus sanitation and hand hygiene that do not necessarily involve heavy and costly concrete.
- **Promotion:** Innovative communications approaches to promote hygiene and handwashing and ‘do-it-yourself’ options for basic-plus sanitation.
- **Menstrual Hygiene and Health (MHH):** Support the implementation of MHH in schools. This includes supporting local manufacturing of reusable pads and has a national advocacy component.
- **Boys and male teachers** will also be involved in teaching on menstrual health and hygiene. This approach will increase knowledge and understanding, encourage male involvement and foster supportive attitudes and perhaps relieve women of some burdens.
- **Baby WASH:** Improve hygiene and sanitation for infants and children under three years of age, including also learning on nutrition and health. Pregnant women, mothers and other caregivers of young children are the target group for Baby WASH.
- **Institutional WASH:** UNICEF’s contribution to the One WASH-CWA (Consolidated WASH Account) is earmarked for institutional WASH – hence UNICEF’s role will continue to support/leverage the CWA in developing a robust strategy and action plan to address the institutional issues and the related construction work. All multi-village schemes also address institutional WASH, as do the MHH interventions.

Outcome 4. Urban WASH and Refugees

a) Service delivery

- **Climate resilient water and sanitation service delivery:** Implement WASH activities in small and medium towns and clusters of villages as part of a conflict-sensitive district wide approach prioritizing the implementation of climate resilient WASH programming.
- **Conflict-sensitive approach:** ESIA’s will be conducted for all interventions. UNICEF is working with a conflict-sensitivity and peacebuilding specialist, who provides support for these assessments, and for the development of a “WASH Conflict Sensitivity, Peacebuilding, and Social Cohesion Guidance” tool.
- **Hygiene promotion and behavioural change:** The sanitation activities will include hygiene and handwashing promotion, behavioural change activities as well as institutional WASH including Menstrual Hygiene Health in Schools. Boys and male teachers will also be involved in teaching on menstrual health and hygiene. This approach will increase knowledge and understanding, encourage male involvement and foster supportive attitudes and perhaps relieve women of some burdens.
- **Smart financing options:** To achieve the targets, UNICEF will leverage resources from traditional grant sources but also look at innovative smart financing options with focus on blended sources of funds (grant and loan) and support the government in mobilizing public and private financing schemes.
- **Functionality and sustainability:** To improve functionality rates, UNICEF will undertake sustainability checks and water utility performance assessments to monitor functionality and sustainability.

b) Upstream Sector Support

- **Urban utility model:** Support government-managed utilities to develop and roll out business models for sustainable delivery of water supply and sanitation services, on a cost recovery basis.

- Regulatory framework: As a continuation of the work done within the One WASH Plus programme, UNICEF will continue with the MoWIE in the establishment and operationalising of regulatory bodies at federal or regional level in selected regions.
- Knowledge management and application: UNICEF will continue supporting the studies, research and evaluations as knowledge management products for improving Urban WASH programming and to trigger continuous debate and policy reform in the OWP.

c) Building Self-Reliance services for refugees and host communities

- Integrated permanent infrastructure: Provide facilities and infrastructures that equitably reach people in host communities and refugees with water, services for liquid waste management, and for solid waste management.
- Service delivery: Provide long term, sustainable, conflict-sensitive and equitable (for both refugees and host communities) services for areas subject to protracted stays of refugees and new influxes.

ANNEX 4: RISK MANAGEMENT

Below the key contextual, programmatic and institutional risks are stated. The development in Ethiopia will be monitored on an ongoing basis leaving room for possible revision.

Contextual risks

Risk Factor	Likelihood	Impact	Risk response	Residual risk	Background assessment to
Political, social, and ethnic tensions might result in protests and unrest in parts of the country.	Likely	Medium	The situation will be monitored very closely and the programme adjusted accordingly.	Medium	Political, social, and ethnic tensions remain high in Ethiopia. Tensions have in the past and continue to fuel protests and unrest, which have disrupted development and investment activities.
The ongoing conflict in Northern Ethiopia can end up creating a protracted crisis with long-term consequences.	Medium	Major	The selection of activities is based on a risk assessment of regions with lower risk (mainly in the southern parts of the country). The choice of regions will be monitored and adjusted during the inception phase. In addition to this unallocated funds have been earmarked for support to humanitarian and emergency WASH, in the case of an increased need for these in Ethiopia.	Medium	The conflict in Tigray has spread into neighbouring regions, deteriorated the security situation and created large humanitarian needs.

Major single or multiple humanitarian crises happen during the program period that negatively affects implementing planned development results.	Likely	Major	Linkages between humanitarian, development and peace-building actions increase resilience of people and systems to shocks. Strong emergency preparation measures allow for rapid and effective responses to emergencies. UNICEF has a lot of experience implementing projects in humanitarian settings.	Medium	Given COVID-19 and the conflict, Ethiopia is currently experiencing increases in poverty, hunger rates and a large increase in internal displacements.
Weak, unorganized and unsupported operation and maintenance systems.	Likely	Major	UNICEF will work to ensure that regional/woreda water authorities have the technical support and capacity to effectively undertake operations and maintenance of rural schemes.	Medium	The lack of established operation and maintenance systems provides a risk for infrastructure-initiatives under the UNICEF WASH programme. If schemes are not maintained, long-term impact as well as the sustainability of the intervention can be affected.
Inadequate environmental regulation and enforcement, limited or non-existent water quality monitoring.	Likely	Medium	As a continuation of the work done within the One WASH programme, UNICEF will continue with MoWIE in the establishment and operationalizing of regulatory bodies at federal or regional level in selected regions.	Minor	This risk has short and long-term impact on water resources (quantity and quality), the adequacy and sustainability of water schemes, flooding, general environmental degradation, and growing competition between water users.
Degraded environment/catchment areas with no or limited vegetation can be affected by gullies, landslides or the polluted environment.	Likely	Medium	The WASH programme is based on a risk-informed design that takes into account climate related risk, resource depletion and water contamination to ensure that interventions are resilient and durable.	Minor	Degraded areas can affect the project in terms of floods that will damage water supply systems and contaminate new source.

Programmatic risks

Risk Factor	Likelihood	Impact	Risk response	Residual risk	Background assessment to
Lack of funding for the whole UNICEF WASH Programme 2021-25	Low	Medium	While the UNICEF WASH Programme has an overall budget, the programme consists of bilateral agreements with various donors, with each agreement reflecting the funding and priorities of each donor. Denmark's support will therefore become a separate	Minor	UNICEF's WASH Programme has a total budget of USD 110 million, where Denmark contributes with DKK 200 million/USD 33.2 million from 2021-2025. Support from some donors expire in 2021 and UNICEF has not yet obtained full

			<p>programme independent of other donors' support.</p> <p>In addition to this, UNICEF expects current donors to continue their contributions, also after their after the end of their current programmes. The current overview of donor support can be found in Annex 5, B.</p> <p>The overall level of funding to UNICEF's WASH Programme will be monitored, and possible reallocations can be considered, through the adaptive management approach, if UNICEF emphasises funding gaps in critical areas.</p>		<p>funding commitments for the WASH Programme from development partners. If adequate funding is not available until 2025, it could put the overall targets of the programme at risk. But this is however not expected to affect the delivery of the objectives states in the programme document with Denmark, as these will be fully funded by the DKK 200 million.</p>
Instability and armed conflict in areas with Rural WASH interventions could make the implementation more difficult or impossible, and affect the overall results.	Likely	Major	The programme has therefore selected regions with lower risks, such as Oromia, SNNPR, Sidama and Amhara (southern part as less affected by the ongoing conflict). In addition, the stability in rural areas will continuously be monitored to allow for possible reallocations of funds if the situation further deteriorates.	Medium	The largest share of the programme budget is to be implemented in rural areas under outcome 3. With increasing instability, conflict and fragility in rural areas, this poses a risk to a timely implementation of the programme.
Low and overstretched capacity of implementing partners slows down the needed intervention agendas.	Likely	Major	UNICEF will set realistic milestones and timelines for the early stages of the programme and allocate appropriate resources to oversight.	Medium	Based on the experience of previous support, GoE-implemented programmes are often delayed and lacks coordination and transparency among stakeholders requiring significant resources from development partners.
Behavioral change is not achieved and existing norms on hygiene and sanitation practices persist	Unlikely	Major	UNICEF will explore best options to address communities with acceptable behavioral change communication techniques and develop sanitation marketing strategies linked to local credit and saving associations and private actors who can provide goods and services at scale.	Minor	While WASH services will be provided through the programme, it is not guaranteed that these services will be used by the target groups. Addressing current behavior and norms regarding hygiene must (and will) therefore be part of the WASH implementation strategy.
The distribution of water access among beneficiaries, risks	Likely	Major	ESIAs will be conducted for all interventions, where	Minor	By providing WASH access to beneficiaries, the UNICEF WASH

generating or exacerbating local conflicts.			<p>issues of social cohesion and access will be assessed.</p> <p>Moreover, UNICEF is working with a conflict-sensitivity and peacebuilding specialist that is providing support for these assessments, and for the development of a “WASH Conflict Sensitivity, Peacebuilding, and Social Cohesion Guidance” tool.</p> <p>Under Urban and Refugee WASH, both refugee areas and their host communities will be targeted. In this way, both refugees and host communities will benefit from improved WASH service levels, thus improving relationships and collaboration between refugees and host-communities.</p>		programme could negatively impact existing divisions and exacerbate or generate new conflicts over water access, especially along divisions of 1) refugee/host communities, 2) local and ethnic divisions.
Distribution of new WASH services can create new GBV challenges	Unlikely	Major	<p>UNICEF is working with a gender-sensitive lens, and with the support of a gender specialist.</p> <p>Gender based violence risk mitigation measures will be integrated in order to ensure that type and placement of water facilities and services are safe. Women, girls, men and boys from local communities will be engaged in all project activities.</p>	Minor	When women and girls have to walk long distances and queue for water there is an increased risk of GBV and harassment. Closer water collection time can reduce the risk factor for gender-based violence. However, these water services need to be secure in order to avoid new GBV risks.
Equitable and inclusive access to WASH services is not ensured.	Unlikely	Major	<p>ESIAs will be conducted for all interventions, where issues of social cohesion and access will be assessed.</p> <p>WASH facilities will be designed to ensure access, including proximity to water sources and gender separated sanitation facilities.</p> <p>Gender-disaggregated data will be collected to monitor development in access.</p>	Minor	While provision of WASH-services will create access for people, it is not guaranteed that such access will be equitable and inclusive. Appropriate responses therefore need to be integrated into the design of WASH facilities.
Capacities remain undeveloped in rural and urban areas and communities are	Unlikely	Major	Use evidence from studies and reviews to adapt approaches to each rural and urban area.	Minor	Possible lack of capacity in target areas given limited existing WASH services and WASH knowledge.

unable to change their situations					
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Institutional risks

Risk Factor	Likelihood	Impact	Risk response	Residual risk	Background assessment to
Fiduciary risks incl. corruption.	Unlikely	Major	Denmark will not be funding Ethiopia's One WASH programme directly, but will fund WASH-activities in Ethiopia through the UNICEF programme. UNICEF will – as Denmark's partner – thereby act as a financial safeguard. In addition, UNICEF is a close and strong partner to the GoE as it has had a central role in the development of the GoE's One WASH strategy.	Minor	Fiduciary risks, including corruption, are potential risks in Ethiopia. This programme will not work directly with the GoE and the public sector. UNICEF will act as a financial safeguard, by bringing the cooperation with the public sector in Ethiopia at all levels in its implementation.
The programme could duplicate existing activities and sources of finance and/or fails to recognize interfaces and synergies with other initiatives in a crowded arena.	Likely	Major	Careful identification done of other relevant bilateral donors and multilateral development partner support. UNICEF is coordinating its activities with partners and stakeholders. Ethiopia coordinates WASH-activities through its One WASH programme.	Medium	WASH-development is a crowded field in Ethiopia. Previously, the sector has had a range of uncoordinated activities between GoE, donor countries and multilateral organisations. With its One WASH programme initiated in 2013, Ethiopia is now coordinating all country activities through its Consolidated Wash Account.
The programme could fail to deliver on its outcomes, which will reflect negatively on UNICEF, GoE, and the MFA.	Unlikely	Major	The theory of change and results framework indicators have been designed with realistic and measurable targets. The programme is already running as Denmark initiates its support. Denmark will focus on this risk as UNICEF's result framework for the programme is adapted to reflect the Danish contribution.	Minor	Danish funding contribution is significant and within a strategic MFA sector.
Allocation of government resources continues to be based on population size	Likely	Major	UNICEF continues to advocate for allocation of resources to be based on needs and to bridge the equity gaps (urban vs rural, poor vs rich and gender). In the programming of the Danish support, areas of low coverages will be targeted	Minor	Infrastructure projects are often guided by population size and impact assessments skewing projects towards e.g., urban areas with densely populated areas. In Ethiopia, WASH services are heavily under-

			through a prioritized focus on rural areas.		provisioned in rural areas compared to urban areas.
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ANNEXE 5: BUDGET DETAILS⁴⁸

5.A: Separate Budget Overview for 130 Million DKK & 70 Million DKK

Separate Budget Overview for 130 Million DKK

Budget description (budget in million DKK)	2021 (Q4)	2022	2023	2024	2025(H1)	Total
1. Sector coordination (3%)	0.19	1.17	0.98	1.17	0.39	3.87
1.1. Existence of WASH monitoring, evaluation and learning mechanism	0.05	0.31	0.26	0.31	0.1	1.02
1.2. Existence of functioning sector coordination mechanism for WASH for development and humanitarian coordination	0.1	0.6	0.5	0.6	0.2	1.99
1.3. Existence of sector regulation and accountability mechanisms for WASH	0.04	0.26	0.22	0.26	0.09	0.86
2. End open defecation (7%)	0.76	2.38	2.70	2.24	0.90	8.98
2.2. Communities practicing open defecation	0.05	0.31	0.31	0.25	0.1	1.02
2.3. Access to basic sanitation services	0.71	2.07	2.39	1.99	0.8	7.96
3. Rural WASH (39%)	0.06	12.58	15.08	15.1	7.56	50.4
3.1. Rural access to sustainable drinking water service	0	11.74	14.08	14.08	7.04	46.94
3.2. Menstrual Hygiene Health Management in rural schools	0	0.71	0.85	0.85	0.43	2.85
3.3. Rural knowledge promotion on hygiene practice	0.06	0.13	0.15	0.17	0.09	0.61
4. Urban and refugee WASH (20%)	0.31	6.33	8.57	7.59	2.53	25.34
4.1. Capacity building of WASH services in urban and refugee areas	0.12	0.58	0.7	0.7	0.23	2.34
4.2. Urban and refugee access to sustainable drinking water service	0	4.72	6.61	5.66	1.89	18.88
4.3. Urban and refugee access to basic sanitation services	0.19	0.93	1.11	1.11	0.37	3.7
4.4. Menstrual Hygiene Health Management for schools in urban areas, refugees and host communities	0	0.1	0.15	0.12	0.04	0.42
Set-aside budget for Outputs 3.3, 3.4 and Emergency WASH (12%)	0	6.19	1.55	7.73	0	15.47
Total Programme cost - Direct cost - (A)	1.32	28.64	28.86	33.85	11.38	104.05
Programme management cost - Direct cost - (B)	0.53	2.12	2.12	2.12	1.06	7.96
Cross Sectoral Operational Support (supply, logistics etc.): 6% - Direct cost - (C)	0.48	1.91	1.91	1.91	0.95	7.15
Total Programmable cost - Direct Cost - (D)	2.33	32.67	32.89	37.88	13.39	119.17
Cost Recovery (HQ) = 8% of Total UNICEF cost - Indirect cost - (E)	0.64	2.54	2.54	2.54	1.27	9.53
Total UNICEF Cost - (F)	2.96	35.21	35.44	40.42	14.66	128.70

⁴⁸ This annex is still a draft.

1% Levy - (G)	1.30	0.00	0.00	0.00	0.00	1.30
Grand Total - (H)	4.26	35.21	35.44	40.42	14.66	130.00

Separate Budget Overview for 70 Million DKK

Budget description (budget in million DKK)	2021 (Q4)	2022	2023	2024	2025(H1)	Total
1. Sector coordination (3%)	0.10	0.63	0.53	0.63	0.22	2.09
1.1. Existence of WASH monitoring, evaluation and learning mechanism	0.03	0.17	0.14	0.17	0.06	0.55
1.2. Existence of functioning sector coordination mechanism for WASH for development and humanitarian coordination	0.05	0.32	0.27	0.32	0.11	1.07
1.3. Existence of sector regulation and accountability mechanisms for WASH	0.02	0.14	0.12	0.14	0.05	0.47
2. End open defecation (7%)	0.41	1.28	1.45	1.21	0.48	4.84
2.2. Communities practicing open defecation	0.03	0.16	0.16	0.14	0.05	0.55
2.3. Access to basic sanitation services	0.38	1.12	1.29	1.07	0.43	4.29
3. Rural WASH (39%)	0.03	6.77	8.12	8.13	4.07	27.14
3.1. Rural access to sustainable drinking water service	0	6.32	7.58	7.58	3.79	25.28
3.2. Menstrual Hygiene Health Management in rural schools	0	0.38	0.46	0.46	0.23	1.53
3.3. Rural knowledge promotion on hygiene practice	0.03	0.07	0.08	0.09	0.05	0.33
4. Urban and refugee WASH (20%)	0.16	3.41	4.62	4.1	1.37	13.63
4.1. Capacity building of WASH services in urban and refugee areas	0.06	0.31	0.38	0.38	0.13	1.26
4.2. Urban and refugee access to sustainable drinking water service	0	2.54	3.56	3.05	1.02	10.16
4.3. Urban and refugee access to basic sanitation services	0.1	0.5	0.6	0.6	0.2	1.99
4.4. Menstrual Hygiene Health Management for schools in urban areas, refugees, and host communities	0	0.06	0.08	0.07	0.02	0.22
Set-aside budget for Outputs 3.3, 3.4 and Emergency WASH (12%)	0	3.33	0.83	4.16	0	8.33
Total Programme cost - Direct cost - (A)	0.71	15.42	15.54	18.23	6.13	56.03
Programme management cost - Direct cost - (B)	0.29	1.14	1.14	1.14	0.57	4.29
Cross Sectoral Operational Support (supply, logistics etc.): 6% - Direct cost - (C)	0.26	1.03	1.03	1.03	0.51	3.85
Total Programmable cost - Direct Cost - (D)	1.25	17.59	17.71	20.4	7.21	64.17
Cost Recovery (HQ) = 8% of Total UNICEF cost - Indirect cost - (E)	0.34	1.37	1.37	1.37	0.68	5.13
Total UNICEF Cost - (F)	1.6	18.96	19.08	21.77	7.9	69.30
1% Levy - (G)	0.70	0.00	0.00	0.00	0.00	0.70
Grand Total - (H)	2.3	18.96	19.08	21.77	7.9	70.00

5.B: Detailed overview of Programme Management Cost

Four regions with all programme activities									
No	Budget Item	Cost per person per year per region (US\$)	# of Staff	Cost per year per region	# of years	Total cost One region (US\$)	# of regions	Total cost Four regions (US\$)	Total cost (DKK)
1	Travel cost								
1	Travel cost for programme monitoring and quality assurance (regional staff). DSA for programme specialist and driver. One travel per month. 10 travels per year = 5*10=> 50 travel days per region. At DSA rate of US\$74 per day = 50*74=3,700 US\$ per year. With the driver (hence 2 persons) it will be multiplied by two.	3,700	2	7,400	3.75	7,750	4	111,000	683,760
1	Travel cost for programme monitoring and quality assurance (regional staff). Vehicle expenses (fuel, lubricants and related). 10 travels per year * 300 US\$ per travel =	3,000	NA	NA	3.75	1,250	4	45,000	277,200

	3,000 US\$ per region								
1	Travel cost for programme monitoring and quality assurance (Addis staff). DSA for programme specialists. 10 travels per year = 5 days per travel * 10 travels=> 50 travel days per year. At DSA rate of US\$74 per day = 50*74=3,700 US\$ per year. For two persons it will be multiplied by two.	3,700	2	7,400	3.75	27,750	1	27,750	170,940
1	Travel cost for programme monitoring and quality assurance (Addis staff). Air ticket and terminal expenses for 2 staff. US\$330 per travel per person * 10 travels = US\$ 3,300 per person * 2 persons = 6,600 US\$ per year.	3,300	2	6,600	3.75	24,750	1	24,750	152,460
2	Miscellaneous travel related costs (ticket change costs, travel extension costs, etc.) At regions and Addis levels	1,850	NA	NA	3.75	6,938	4	27,750	170,940

	Sub Total - Travel costs (Four regions with all programme activities)					98,438		236,250	1,455,300
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Four regions with limited programme activities									
No	Budget Item	Cost per person per year per region (US\$)	# of Staff	Cost per year per region	# of years	Total cost One region (US\$)	# of regions	Total cost Four regions (US\$)	Total cost (DKK)
1	Travel cost								
1	Travel cost for programme monitoring and quality assurance (regional staff). DSA for programme specialist and driver. One travel per two months. 5 travels per year = 5 days * 5 => 25 travel days per region. At DSA rate of US\$ 74 per day = 25*74 =1,850 US\$ per year. With the driver (hence 2 persons) it will be multiplied by two	1,850	2	3,700	3.75	13,875	4	55,500	341,880
1	Travel cost for programme monitoring and quality assurance (regional staff). Vehicle expenses	1,500	NA	NA	3.75	5,625	4	22,500	138,600

	(fuel, lubricants and related). 5 travels per year * 300 US\$ per travel = 1,500 US\$ per region								
1	Travel cost for programme monitoring and quality assurance (Addis staff). DSA for programme specialists. One travel per 2 months. 5 travels per year = 5 days * 5 travels => 25 travel days. At DSA rate of US\$ 74 per day = 25*74=1,850 US\$ per year. (two persons travelling)	1,850	2	3,700	3.75	13,875	1	13,875	85,470
1	Travel cost for programme monitoring and quality assurance (Addis staff). Air ticket and terminal expenses for 2 staff. US\$330 per travel per person * 5 travels = 1,650 US\$ per person	1,650	2	3,300	3.75	12,375	1	12,375	76,230
2	Miscellaneous travel related costs (ticket change costs, travel extension costs, etc.) At regions and Addis levels.	925	NA	NA	3.75	3,469	4	13,875	85,470

	Sub Total - Travel costs (Four regions with limited programme activities)					49,219		118,125	727,650
	Total - Travel costs (All regions)					147,656		354,375	2,182,950
								453,188	2,791,635
								98,813	608,685

2	Staff salary	Annual Salary	# of Staff	Total cost per year	# of years	Total cost (US\$)	Total cost (DKK)
2	WASH Staff salary: Addis staff - 2 staff at NO-C level	55,926	2	111,852	3.75	419,445	2,583,781
2	WASH Staff salary: Regional staff - 2 at NO-C level	55,926	2	111,852	3.75	419,445	2,583,781
2	WASH Staff salary: Regional staff - 2 staff at NO-B level	54,297	2	108,594	3.75	407,228	2,508,521
3	Programme Effectiveness staff: 1 staff at GS-5 level	31,477	1	31,477	3.75	118,039	727,119
3	Programme Effectiveness staff: 4 staff at GS-2 level	18,035	4	72,140	3.75	270,525	1,666,434
	Sub Total - Salary costs		11	435,915		1,634,681	10,069,637
	Grand Total			534,353		1,989,056	12,252,587

5.C: Detailed overview of the Cross Sectoral Operational Support

The Cross Sectoral Operational Support of 6% (direct cost) has been outlined as follows, considering 5 regions:

Description	Year					Total	Remarks
	2021	2022	2023	2024	Half 2025		
Operation cost considering only 5 regions							
Total Operations staff salary donor funded	14,352,227	15,042,665	15,766,267	16,486,994	8,587,407	70,235,559	

Average cross sectoral Non staff Cost per year	-	74,382,000	78,101,100	82,006,155	41,003,078	275,492,333	This is cross sectoral cost of UNICEF in 5 intervention regions and Addis Office
Total average operations cost	14,352,227	89,424,665	93,867,367	98,493,149	49,590,484	345,727,892	
<i>Proportion of WASH program planned budget from the overall UNICEF CP budget</i>		18.6%	18.6%	18.6%	18.6%		
WASH contribution to cross sectoral budget based on the proportion of five year WASH program budget vs over all CP budget	-	16,632,988	17,459,330	18,319,726	9,223,830	61,635,874	
Cross sectoral budget to be charged from Danish for the proposed WASH programme							
Salary To be charged from Danish for the proposed programme		2,463,450	2,585,421	2,713,500	1,415,985	9,178,356	This is related to salary of few drivers, ICT, warehouse, operations and finance officers in the 5 region
Other Operations cost to be charged from Danish for the proposed programme		163,552	163,551	163,548	88,047	578,698	including admin related costs, ICT costs, rental security and other operational costs
Third party monitoring/quality assurance costs to be charged from Danish for the proposed programme		414,315	414,315	414,315	-	1,242,946	
Total cross sectoral Budget to be charged from Danish WASH programme	-	3,041,318	3,163,288	3,291,363	1,504,031	11,000,000	
Proportion of DANISH contribution to cross sectoral budget for WASH		18.28%	18.12%	17.97%	16.31%	17.85%	

5.D: Other Donor Countries' Support to the UNICEF WASH Programme

Other donors currently contributing to the UNICEF WASH programme are shown in the tables below. Several of these grants are carried over from the previous country programme and will expire in 2021, hence although the full value is shown here, the totals are not necessarily reflected in the overall budget for the new CPD period. Where grants are multi-sectoral (i.e. shared with UNICEF's other programme components, e.g. health), only the WASH component is indicated.

Rural WASH

Organisation and Purpose	Amount	Expiry
European Union – climate resilient geohydrological mapping and drilling in lowland areas	Euro 5 million	2021
KfW/Government of Germany – drought resilient rural WASH programme in Lowland Areas	Euro 10 million	2024
UNICEF National Committees of New Zealand – One multi-village scheme in Amhara Region	USD 500,000	2021
UNICEF National Committees of New Zealand, Germany – Pastoralist sanitation	USD 310,000	2021
Lixil (global partnership) – Pro-poor Sanitation marketing	USD 357,000	2021
Government of Canada – Adolescent programme (cross-sectoral) including WASH in schools and MHH	USD 2 million	2022

Urban and Refugee WASH

Organisation and Purpose	Amount	Expiry
KfW/Government of Germany – Sustainable solutions for refugee and host community WASH service provision in Benishangul Gumuz and Gambella	USD 13 million	2021
UK/FCDO – Building self-reliance for refugees and vulnerable host communities (multi-sectoral)	USD 12.5 million	2021
KfW/Government of Germany – Durable WASH Solutions to Drought in Southern Ethiopia in 3 towns/satellite villages	USD 14.4 million	2022
Govt. of Netherlands – Establishing a regulatory framework for urban and rural water and sanitation in Ethiopia concerning the WaterWorX Program	Euro 600,000	2022
BMGF (Gates Foundation – global partnership) – Improving country enabling environments for inclusive sanitation services	USD 1 million	2023
UK FCDO – Strengthening CR Systems and Capacity for Improved WASH Service Delivery	UK sterling 5 million	2024
KOICA – Resilience, Peace and Protection for Children affected by Conflict and Displacement in Ethiopia (multi-sectoral)	USD 1.93 million	2024
KfW/Government of Germany – Improved social cohesion and peace in conflict affected areas and communities through improved water supply, sanitation and hygiene services (regional partnership)	Euro 6.6 million	2024

Emergency WASH

By their nature, emergency grants are more short term and dependent on humanitarian situations that arise. UNICEF WASH currently has approximately USD \$22 million under emergency grants, mostly expiring in 2021, from a range of donors including UNOCHA, SIDA, UK FCDO, Canada, Japan, OFDA, CERF and BRE.

S/No.	Donor	Project Title	Amount
1	Japan Committee for UNICEF	CIK SATO Taps to support UNICEF's Hand Hygiene work in Ethiopia - LIXIL	66900
2	UNOCHA- Central Emergency Response Funds	Anticipatory interventions in the WASH sector to mitigate the negative impacts of drought shocks	1.99mill
3	UNOCHA- Central Emergency Response Funds	Emergency WASH response to conflict affected populations in Tigray and surrounding regions	2.65mill
4	USA (USAID) OFDA Office for Foreign Disaster	Provision of WASH services to emergency affected communities in Ethiopia- Rapid Response Mechanism	6.11mill
5	Japan Committee for UNICEF	Reducing transmission and exposure of the corona Virus through hygiene practice	208,000
6	Japan	WASH service delivery to respond to the needs of women and children affected by emergencies in IDP and host communities of Ethiopia	500,000

7	Japan	Provision of emergency water, sanitation and hygiene (WASH) services for most vulnerable people affected by the Tigray crisis in Ethiopia	1.2mill
8	UNOCHA- Central Emergency Response Funds	Emergency water, sanitation and hygiene (WASH) response to conflict-affected populations in Tigray Region	3.5mill
9	USA (USAID) OFDA Office for Foreign Disaster	Support for emergency response to the Tigray crisis	2.5mill
10	UNOCHA- Central Emergency Response Funds	Cholera Response activities in Ethiopia	1.5mill
11	Sweden- SIDA	Global Humanitarian Thematic Funds	450,000

ANNEX 6: LIST OF SUPPLEMENTARY MATERIALS

#	Document / Material	Source
1	Identification note	Embassy in Addis Ababa
2	Conflict Sensitivity Peacebuilding and Social Cohesion Guidance UNICEF WASH	UNICEF WASH
3	SES Standards and Procedures -November 2019	UNICEF WASH
4	SES Screening Note November 2019	UNICEF WASH

ANNEX 7: PLAN FOR COMMUNICATION OF RESULTS

The communications strategy is a living document that will be developed continually and thus the plan below is to be seen as a dynamic tool for regular monitoring and updating during programme implementation. The political situation will be closely monitored and the communications plan will follow the guidelines from the Embassy to secure timely communication to Ethiopian and Danish audiences.

What? (the message)	When? (the timing)	How? (the mechanism)	Audience(s)	Responsible
As part of the embassy's new communication strategy and the role as Green Frontline mission relevant messages and stories about access to WASH and especially climate resilient WASH will be identified.	Signing of programme and major results.	As part of the embassy's communication work, achieved results will be communicated through established communication platform and social media channels. The programme results and priorities will also be included in ongoing thematic communication products on climate mitigation and adaptation.	Communication activities will be targeted to an Ethiopian and Danish audience - respectively	The Water Sector Counsellor with the communication team at the Embassy.
The use of adaptive management, and specifically allocation	If the PMU decides to allocate fund to Emergency WASH,	Communication platform and social media channels.	Communication activities will be targeted to an	The Water Sector Counsellor with the

of funds to Emergency WASH – if and where needed will be communicated.	this will be communicated after approval.		Ethiopian and Danish audience - respectively	communication team at the Embassy.
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ANNEX 8: PROCESS ACTION PLAN (PAP)

Action/product	Deadlines	Responsible/involved Person and unit	Comment/status
Formulation of WASH Programme: Post-Programme Committee			
Financial quality assurance with FRU and UN Mission, NY	24.05.21-09.06.21	CWE-Team	Done
Technical quality assurance with GDK and MNS	26.05.21-10.06.21	CWE-Team	Done
Formulation of identification note	Early June	CWE-Team	Done
Draft Programme finalised	16.06.21	CWE-Team	Done
Formulation of bilateral agreement with UNICEF	Ongoingly	CWE-Team	Done
Appraisal of Programme			
Appraisal took place in July-August 2021.	August 2021	ELK	Done
Programming document(s) submitted to ELK	16.06.21	CWE-Team	Done
Online interviews conducted by Appraisal team	23-30.06.21	CWE schedules, appraisal team conducts	Done
Draft appraisal report submitted to Embassy with status meeting	07.07.21	ELK	Done
Final appraisal draft submitted to Embassy	9-10.08.21	ELK	Done
Embassy to submit comments to draft appraisal report and table of recommendations to ELK	12.08.21	CWE-Team, approval by management	Done

Final appraisal report and table of recommendations submitted	16.08.21	ELK	Done
UPR			
Confirmed agenda item to Council for Development Policy	02.09.21	CWE-Team	Done
Final draft Programme Documents ready for internal approval at the Embassy	20.09.21	CWE-Team	Done
Submission of programming documents + annexes to MFA (ELK) for the UPR	27.09.21	CWE-Team	Done
Presentation of Concept Note and Country Policy Paper to Programme Committee	14.10.21	Embassy (KP, JSS, SM)	
Final Approval			
Forward all final documents to ELK		CWE-Team	
Ministerial approval of Programme		ELK/Embassy	
Document for Finance Committee (Aktstykke) and presentation to the Parliamentary Finance Committee		Embassy and APD	
Signing Government to Government agreement	After the Minister's approval	Embassy (KP, JSS, SM)	
Registration of commitments in MFA's financial systems within the planned quarter	After agreement(s) are signed	SM, JC	

ANNEX 9: APPRAISAL REPORT

Annex V Appraisal Recommendations

In this Annex the Appraisal overall conclusion and recommendations and the Representation follow-up is summarised:

Title of project support	Support to UNICEF's WASH Programme Ethiopia, 2020-25.
File number:	F2: 2021-12663
Appraisal report date:	2 August 2021 (draft), Final 16th August
Council for Development Policy meeting date:	
Summary of possible recommendations not followed:	
<p><i>The Appraisal is positive and the support to UNICEF WASH recommended for approval</i></p> <p>The Danish strategy for cooperation with UNICEF¹⁵ aligns well with the bilateral support to WASH in Ethiopia. UNICEF has a unique dual humanitarian and development mandate, works sustainably by building local and government structures and not least has a solid track record. Further, UNICEF's programme and mandate addresses key Danish priorities and interests relating to irregular migration, human rights, empowerment of women and addressing poverty. <i>UNICEF is a well-justified partner for Denmark especially in a situation where emergency preparedness and adaptability in light of the security situation is essential.</i></p> <p>The PD, however, provides very little detail regarding the implementation modalities and procedures and the particular details of water services to be implemented as a result of the Danish support are absent. The Appraisal notes with concern that the 4 regions to be targeted by Danish support are not yet identified, feasibility studies, preparation of detailed designs, public hearings with local communities and tender documents are to be prepared and finalized before tenders are launched and contracts can be signed and the works to achieve the targets commenced. <i>This, to the Appraisal, immediately calls into question the achievement of the outcomes of the Danish support in the program period ending 2025.</i></p> <p>The Appraisal finds that the PD needs to be adjusted in accordance with the following recommendations:</p>	
Recommendations by the appraisal	Follow up by the Representation
Detailed Implementation Plan	
<p>1: The Appraisal recommends an Inception Phase during the initial 3-6 months after signing the government agreements to establish a <u>detailed implementation plan</u> for the Danish support to UNICEF's WASH programme that secures achievement of the outcomes of the Danish support including construction period for</p>	<p>An inception phase will be carried out. During the inception phase, a more detailed implementation plan will be established. This plan will also explore the need and structure of a Project Management Unit and will establish an Adaptation and Risk Management</p>

¹⁵ Strategy for Denmark's Engagement with United Nations Children's Fund (UNICEF) United Nations Children's Fund (UNICEF) 2018-2022, MFA DK.

<p>infrastructure, handing over and guarantee inspections within the program period ending 2025.</p>	<p>Approach. The selection of project regions will be re-evaluated during the inception phase, to secure that these do not only match the strategic priorities but also reduce risk.</p>
<p><i>Project Management Unit</i></p>	
<p>2: The Appraisal recommends during the Inception Phase a clarification is made in relation to a dedicated <u>Project Management Unit</u> developed in cooperation with MoWIE for technically demanding outcomes with a view to possible ties the SSC and the Danish resource base as well as impact on the administrative costs and fees.</p>	<p>During the inception phase, the use and structure of a Project Management Unit will be explored. In addition to this, the DAG coordination group for the water sector will be used actively to secure a strong coordination, not only with UNICEF and MoWIE but also with all the other active development partners in Ethiopia. These mechanisms will also be used for securing strong synergies between the engagement with UNICEF WASH and the new water SSC.</p>
<p><i>Results Framework updated</i></p>	
<p>3: The appraisal recommends the Results Framework is updated to better reflect the linkage between outcomes and outputs and actions on the ground to secure the achievement of the impact in the programme period. Further, to adapt the results framework to also reflect the unallocated funds and the role of UNICEF in the emergency preparedness and <u>adaptability</u> of the Danish WASH support with a slight adjustment of the objective in the grant document, as presented to the Council for Development Policy.</p>	<p>These reflections will be taken into account when updating the results framework together with UNICEF during the inception phase. A clear link between the unallocated funds and an adaptive response to emergency preparedness will be reflected. Adjustments to the priority areas, such as a review and potential increase in the budget allocation to outcomes 1 and 2 will be taken into consideration.</p>
<p><i>Adaptation and Risk Management Approach</i></p>	
<p>4: The Appraisal recommends to establish an <u>adaptation and risk management approach</u> including monitoring and experience gathering underpinning the risk management. Accountability should be explicit and verifiable, and the focus of possible programme adaptations be central supervision duties integrated in the governance structure of the programme.</p>	<p>A detailed Adaptation and Risk Management Approach will be established during the inception phase, to secure a strong governance structure and an adaptive programme.</p>
<p><i>Open for Hard Earmarking</i></p>	
<p>5: The Appraisal recommends <u>hard earmarking</u> is applied for possible use of unallocated funds</p>	<p>Hard earmarking will be applied for outcome 1-4. The possibility of using</p>

for emergency and humanitarian purposes. Furthermore, hard earmarking may also be an option to adopt in relation to the potential role of a PMU, which involve mobilization of the Danish resource base.

unallocated funds for emergency and humanitarian purposes will be clearly stated.

I hereby confirm that that the above-mentioned issues have been addressed properly as part of the appraisal and that the AT has provided the recommendations stated above.

Signed in Copenhagen, 16th
August



.....

Torben Traustedt Larsen
Chief Consultant, ELK

I hereby confirm that the Representation has undertaken the follow-up activities stated above. In cases where recommendations have not been accepted, reasons for this are given either in the table or in notes enclosed.

Signed in Addis Ababa on 23rd
September 2021



Alexander Skommer Larsen
Deputy Head of Representation

Identification Note: Stand-alone Programmes and Projects

Contribution to UNICEF WASH Programme 2020-25, Ethiopia

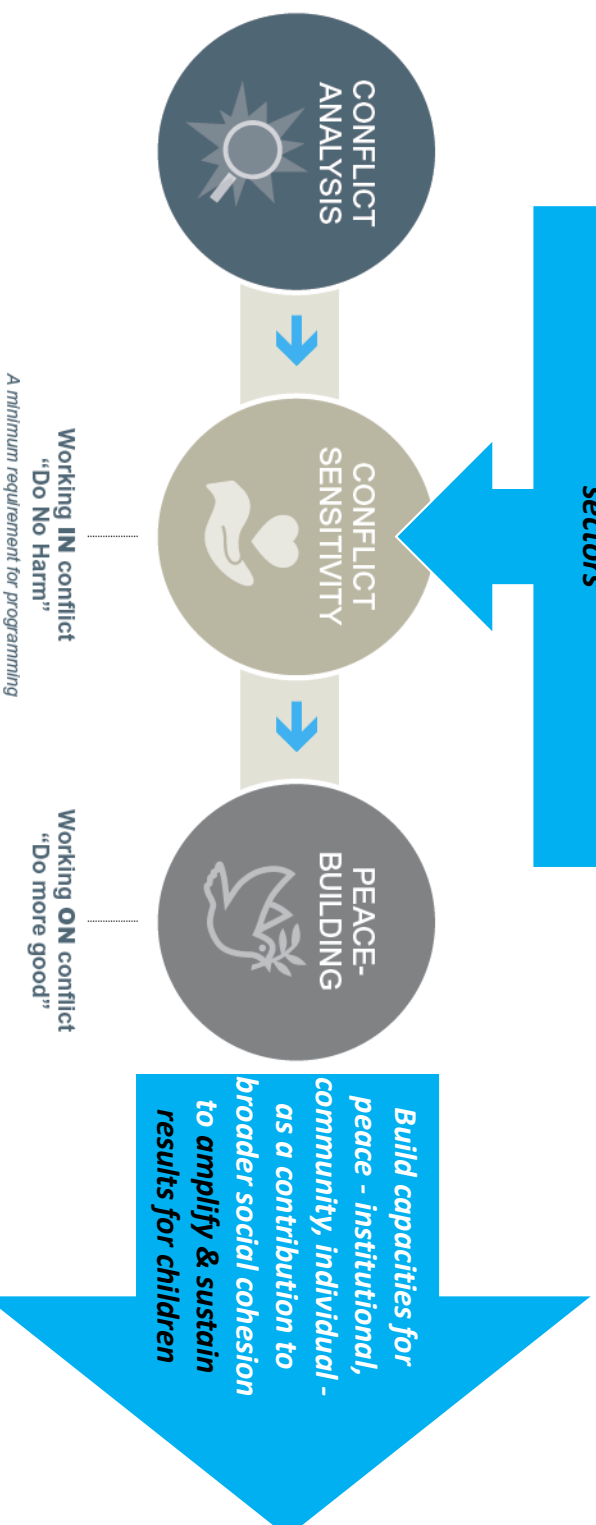
1) Brief description of the development challenge:	Ethiopia faces many challenges in the water, sanitation and hygiene (WASH) area. In 2017 Ethiopia ranked 95 th out of the 96 monitored countries in terms of safely managed water supply. The most recent UNICEF and WHO Joint Monitoring Report 2019 outlined that only 41% of the population has access to “at least basic drinking water services”, while only 7% of the population has access to “at least basic sanitation services”. Moreover, 22.4% of the population still defecates in the open, leading to significant hygiene and health implications. Furthermore, the country faces continuous population growth with rapid urban growth, which increase the pressure on the population’s access WASH services.
2) Preliminary strategic objectives	<ol style="list-style-type: none"> 1) Capacity building and improved coordination in WASH sector 2) Support to UNICEF’s End Open Defecation-campaign 3) Improved WASH-access in rural areas 4) Improved WASH-access in urban and refugee areas
3) Brief description of the intended project or programme	<p>Ethiopia has launched a set of policies under its OneWASH National Programme (OWNP). OWNP is a sector wide and multi-sectoral approach for WASH program implementation monitoring, evidence generation and policy development.</p> <p>UNICEF has been an implementing partner of the OWNP since 2013. The UNICEF Ethiopia WASH Programme 2020-2025 secures the continued support to the OWNP in Ethiopia. The objective of the programme is to achieve the following outcome: “<i>By 2025, children and their families in rural, urban and refugee areas have equitable access to safe, affordable and sustainable, water and sanitation services and appropriate hygiene practices at household, community and institution levels.</i>” Concretely, the programme will implement activities along four dimensions: 1) <i>Sector coordination and knowledge management</i>, 2) <i>End open defecation</i>, 3) <i>Rural WASH</i> and 4) <i>Urban WASH and refugees</i>. With these four WASH dimensions, the programme will contribute to SDG 6 (Clean Water and Sanitation) and to Ethiopia’s OWNP.</p> <p>It is in this context and in an effort to support Ethiopia’s ongoing development, that the Danish Government has allocated DKK 200 million for supporting this programme¹. Denmark’s contribution will provide funding for the implementation of the broader 2020-2025 strategy but will also use earmarking to prioritize access to basic water services for at least 600,000 people and the implementation of climate resilient WASH schemes in Ethiopia.</p>
4) Contributions to development policy priorities	<ul style="list-style-type: none"> - Increased water access - Incorporating climate resilience in development engagements - Refugee response - Children and youth - Gender equality in WASH services - Global health (and COVID-19) response

¹The Danish Government has allocated DKK 130 million to the UNICEF Ethiopia WASH programme under budget vote 06.34.01.40 “Energy and water resources” being part of budget vote 06.34.01 “Natural resources, energy and climate changes in developing countries” of the Finance Act 2021. Additional DKK 70 million are expected to be allocated on the 2022 Finance Act (subject to parliamentary approval)

5) SDG(s)	SDG6
6) Gender, youth, climate change, environment, fragility or other relevant aspects	<ul style="list-style-type: none"> - Gender: attention to gender is important in design of WASH-services as the services otherwise can worsen gender inequality. A gender-sensitive approach will include e.g. distance to water point, separated sanitation facilities - Youth: WASH access for children and their families and special focus on issues around menstrual hygiene - Climate change: Ethiopia is increasingly affected by climate changes through flooding and droughts. Therefore important to incorporate responses such as groundwater mapping and robustness in WASH infrastructure. - Fragility: the ongoing political instability in the country needs ongoing attention and appropriate Adaptive Management-elements should be incorporated in the programme to increase flexibility to response to possible changes in the country.
7) Possible collaboration with other multilateral or bilateral partners	<p>Multilateral partners: The World Bank and the African Development Bank are currently implementing projects in the WASH-sector in Ethiopia. The Danish MfA is also financing the AfDB's African Water Facility, which is amongst others been implemented in Ethiopia.</p> <p>Bilateral partners: Germany, Finland and the Netherlands are all significantly engaged in the WASH-sector in Ethiopia. The Netherlands are focusing on capacity-building in terms of groundwater-mapping, Germany and Finland are directly supporting Ethiopia's OneWASH-strategy, focusing on water schemes in rural and refugee areas. Germany (KfW) is also the largest financial partner to UNICEF WASH in Ethiopia.</p>
8) Other important aspects	<p>Denmark will initiate a SSC on Water in Ethiopia in the second term of 2021 with the Danish Protection Agency (Miljøstyrelsen) and the Ministry of Water, Irrigation and Energy (MoWIE). This engagement creates possibilities for synergies with the Danish contribution to UNICEF, as the contribution can work as an initial fundament for Danish water engagements in Ethiopia, but also opens up for possible links between the two engagements, as the SSC becomes established. Especially with regards to consolidation of water schemes, where Miljøstyrelsen has significant experience.</p>

Social Cohesion Framework

*Integrating conflict sensitive and peacebuilding approaches & leveraging programmatic entry points in **conductive sectors***



STATE & POLICY LEVEL
Vertical Social Cohesion



COMMUNITY LEVEL
Horizontal Social Cohesion



INDIVIDUAL LEVEL
Capacities & Contributions



unicef | for every child

UNICEF Ethiopia Social Cohesion ToC

VISION: Children in Ethiopia enjoy a peaceful society where they can thrive and develop

IMPACT: By 2025 girls and boys living in conflict-affected, refugee, and IDP contexts in Ethiopia benefit from conflict-resilient social services and enjoy more socially cohesive communities

Outcome 1. UNICEF Ethiopia and its partners deliver conflict sensitive and peacebuilding-informed programmes in conflict-affected, refugee, and IDP contexts

Outcome 2. Key social service stakeholders (local authorities, communities, children) in conflict-affected, refugee, and IDP contexts experience improved social cohesion

IF ECO sustainably strengthens staff and partner capacity to deliver conflict sensitive and peacebuilding-informed programming, **AND** effectively integrates conflict sensitive and peacebuilding approaches to humanitarian and development programming; **THEN** girls and boys living in conflict-affected, refugee, and IDP contexts in Ethiopia will benefit from conflict-resilient social services and enjoy more socially cohesive communities; **BECAUSE** collaborative engagement amongst key social service stakeholders (local authorities, communities, children) contributes to building social cohesion - a foundation of sustainable peace



unicef  | for every child

CONFLICT SENSITIVITY

WHAT IS IT AND WHY IS IT IMPORTANT?

- Programmatic approach in conflict-affected contexts – understand the context, the two-way interaction between our intervention and the context, and manage risks – **Do No Harm**
- If our WASH investments are conflict *in*-sensitive we can fuel existing or new conflicts in water scarce environments
- This undermines effectiveness (e.g. constrained access to water by some groups) and sustainability (e.g. conflict can lead to destruction of assets)

NON-SENSITIVE UNICEF PROGRAMMING

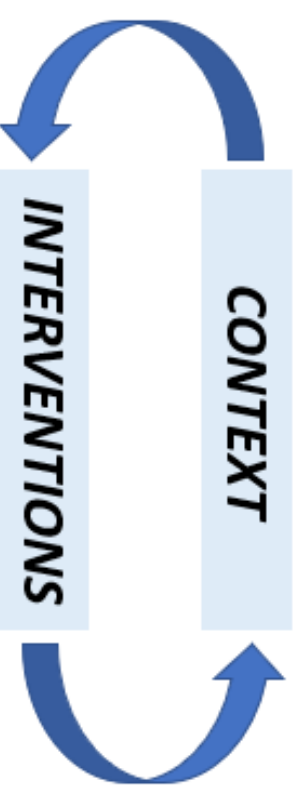
Construction of a borehole brings groups seeking water from a neighboring community, which leads to violent clashes over this resource.

CONFLICT ANALYSIS FINDINGS

Groups have historically struggled for control of limited resources. Farmers have acted as “connectors” across group lines with shared interests.

CONFLICT SENSITIVE PROGRAMMING

Consultations with farmers as bridge-builders are held to reassess and determine a mutually acceptable location for the project.



CONFLICT SENSITIVITY

HOW TO CONFLICT SENSITIZE OUR WASH INTERVENTIONS?

1. Include a simple but **sector-relevant conflict analysis** to inform the design and implementation of the intervention that identifies:
 - (a) recent/current conflict events in the implementation context and/or involving relevant stakeholders, and
 - (b) local conflict dynamics likely to interact with our interventions;
2. Includes **conflict monitoring** as part of M&E activities and relevant budget allocation to support it;
3. Includes **relevant conflict sensitive indicators** capturing the two-way interaction between our intervention and the context with a special focus on **equity** e.g. ensuring our investments do not marginalize or exclude groups

INTERNAL CONFLICT SENSITIVITY

HOW WE MANAGE OUR PROJECT:

- #/type of internal conflicts (e.g. disputes between project stakeholder groups – outside workers, local hires, water utility board members, WASHCO members)
- Disaggregation of recruitment by relevant categories and location (e.g. host, IDP/returnee, refugee, ethnic groups, religious affiliation, geographic location & region/woreda/kebele as relevant);

EXTERNAL CONFLICT SENSITIVITY

HOW WE DELIVER RESULTS:

- Disaggregation of baseline/targets by relevant categories and location (e.g. host, IDP/returnee, refugee, ethnic groups, religious affiliation, geographic location & region/woreda/kebele as relevant);
- #/type of conflict events in target areas and/or affecting target communities;
- # instances of lack of access to project sites;
- #/type of violent incidents, including harassment, physical attacks and/or attacks on property, directly targeting the intervention e.g. targeted staff/beneficiaries, project sites, project assets;
- Perception of equity of the intervention amongst participating communities and/or other relevant stakeholders

CONFLICT SENSITIVITY

EXISTING OPPORTUNITIES & GOOD PRACTICES

- 5.3.2. Cross-cutting Issues Refugees
 - “Prioritize equitable basic and social service provision to both refugees and hosting populations by addressing long lasting and resilient solutions for both
 - “Planning for equity of distribution of services to prevent conflict over water resources”
- 8.6. Emergency Preparedness – Linking humanitarian response to sustainable development upholding core commitments to “Prevent and End Conflicts” & “Leave No One Behind”
- 9.9 Strengthen community involvement/participation and empowerment
- 9.11. Post-construction support - help the woreda or zone obtain the support and training they need to run and repair the system and *help resolve any management (internal) and water use (external) conflicts that arise.*



CONFLICT SENSITIVITY

EXISTING OPPORTUNITIES & GOOD PRACTICES

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

- Recognition of conflict amongst water users as significant challenge
- potential social conflict as well as grievances from the farmers and residences in the close vicinity of the construction site.
- Extensive consultation with upstream and downstream users to avoid conflict with the objective of reaching an agreement on water use that can be implemented and monitored by local authorities;
- ESIA/ESMP – “Is there potential for conflict between users; if so, how should this conflict be solved?”
- Contractor shall at all costs avoid conflicting with water needs of local communities



CONFLICT SENSITIVITY

EXISTING OPPORTUNITIES & GOOD PRACTICES

- Ongoing conflict sensitizing of borehole 'siting' processes and of Environmental & Social Impact Assessment (ESIA) and Management Plans (ESMP) – **ensuring we have our finger on the pulse of the community**
- Participation of all relevant host-refugee/IDP community stakeholders in governance mechanisms e.g. Water Utility, Technical Working Group, and Board – **empowering and being accountable to communities**
- Integrate conflict/dispute resolution mechanisms in the board policy to handle internal conflict ' (e.g. amongst members of water scheme management body) or external conflict 'caused' by the project (e.g. amongst/between host/refugee communities participating in the project) – **managing conflict risks**

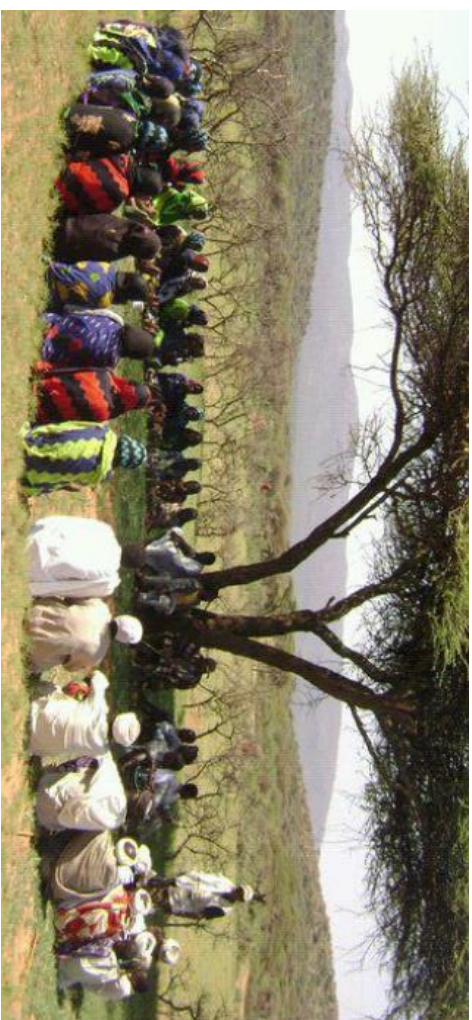


CHECKLIST GUIDANCE & INDICATOR – Accountability to Affected Population (AAP)

HOW TO STRENGTHEN AAP & EXISTING OPPORTUNITIES/GOOD PRACTICES

- Ensure that participating communities are informed on their rights and entitlements, expected standards of conduct, available services, how to access them through preferred language and method of communication.
- Beneficiaries have their feedback systematically collected and used to inform programme design and course correction.
- Have access to safe and confidential complaint mechanisms.
- Linked to conflict sensitivity, same community consultative forums to manage conflict risks are community participation and accountability platforms
- Leverage WASHCOs and ESIA/ESIMP community consultative processes

Internal/External indicator: # people sharing concerns and asking questions/clarifications to address their needs through established feedback mechanisms



CONCLUSIONS

- **Conflict sensitivity and peacebuilding approaches** can help to reinforce community ownership and positive behavior change - the investments made can positively contribute to mitigate conflict risks.
- There is need to balance government leadership of UNICEF WASH investments with strong **community engagement activities**, also the heavily ‘technical engineering expert’ approach and integrate local knowledge on water resources management.
- **Environmental and Social Impact Assessment (ESIA) & Management Plan (ESIMP)** process is an entry point/platform to utilise
- **C4D is a very conducive entry point** to integrate conflict sensitivity and gender transformative approaches to WASH programming, leverage C4D activities for **stronger community engagement**. Radio/listenership groups and urban online feedback mechanisms;
- **Existing community platforms** can be leveraged to support conflict sensitivity and strengthen social cohesion, **but also as AAP/PSEA mechanisms for greater gender sensitivity and responsiveness**.



UNICEF Social and Environmental Sustainability Standards and Procedures

Draft
(November 2019)

Note: This report is a draft.

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1. Introduction

UNICEF is committed to increasing its contribution to social and environmental sustainability, given both the importance of the issue to children and the global commitment to the Sustainable Development Goals.

Climate change and environmental degradation are already harming children, especially those that are most disadvantaged. Unless action is taken, future impacts will be far more dramatic, undermining much of the progress made for children over the last decades. Each of the five [Goal Areas of the UNICEF Strategic Plan 2018 – 2021](#) – is affected in some way by climate change and/or environmental degradation.

UNICEF's [Strategic Framework on Environmental Sustainability for Children \(2016-2017\)](#) issued in December 2015 committed the agency to significant strengthening of policy, programmes, advocacy, research and engagement on environmental sustainability to deliver better results for children, especially the most disadvantaged. Priority 2 of the Framework committed UNICEF to the piloting and roll-out of a set of Social and Environmental Sustainability Standards and Procedures (SESSP).

Robust environmental and social standards (e.g. safeguards) and related accountability mechanisms (e.g. grievance mechanisms) aim to ensure that development and humanitarian actors are held to the principles they proclaim and that interventions do not result in inadvertent harm to people and the environment. They support a human rights-based approach that is transparent, inclusive and participative so that no one is left behind. They also reflect that even with good planning and best intentions, unanticipated impacts and conflict may still arise, so accountability mechanisms need to be in place to receive and respond to grievances from people affected by UN-entity programming

To that end, a Decision Memo was issued which provided for the development of UNICEF's social and environmental standards in recognition of the growing number of UN entities developing similar approaches over the past few years, and of the requirements of both bilateral and multilateral funding partners

In March 2016, a [UNICEF Executive Directive](#) was issued, stating that as part of the Mid-Term Review of the Strategic Plan 2014-2017, four priorities on climate change and children have been identified that should inform UNICEF's programme future work and operations. These are:

- Advocacy and accountability – to support governments' efforts to reach their commitments, to help hold them accountable for doing so, and to help develop more ambitious programmes that protect children from the impacts of climate change; and to strengthen engagement of youth in actions related to climate change.
- Climate-change adaptation through resilient development – including support for programmes that assist children and their families to overcome disasters and reduce the risks posed by these before they happen.
- Climate change mitigation – including support for communities to transition to a low carbon development pathway.
- Greening UNICEF – including environmental footprint assessments and taking action to reduce these.

The goal of the Executive Directive is that by 2020, all country programmes will be addressing these priorities in a progressive manner, in partnership with governments, civil society and the private sector.

The Social and Environmental Standards and Procedures presented here are an important building block for UNICEF to begin addressing these priorities, support the achievement of sustainable development and provide direction for the management of social and environmental risks in UNICEF's programmes.

2. Basis for the Design of the Social and Environmental Sustainability Standards and Procedures (SESSP)

2.1 Background

The UNICEF SESSP has been designed to be consistent with the [“Framework for Advancing Environmental and Social Sustainability in the United Nations System”](#) developed by the UN Environment Management Group (UN EMG) in 2012, and which promotes and guides harmonized approaches to environmental and social sustainability across UN agencies. The EMG Framework provides a basic architecture for integrating environmental and social sustainability (ESS) measures into the three “entry points” of policies/strategies, programmes/projects, and operations/facilities.

In 2014, the UN EMG produced an “Interim Guide” which provides pointers for UN agencies wishing to conduct situation assessment and gap analysis as a first step towards implementing their environmental and social sustainability frameworks. The Guide defines a set of minimum essential building blocks needed to support the delivery of ESS measures within one of more of the three entry points. The five building blocks are: (i) corporate commitment; (ii) performance/quality standards; (iii) operational procedures; (iv) mechanisms for ensuring accountability and transparency; and, (v) monitoring, reporting and evaluation systems.

As a result, in recent years, a number of UN entities have put in place or have started to adopt environmental and social standards for programming. Based on the proliferation of ESS policies and procedures at country level, the EMG has developed a [Model Approach to Environmental and Social Standards for UN Programming](#) to ensure greater alignment of ESS across UN entities, strengthen policy coherence and improve collaboration with governments and other national counterparts in country level programming.

In developing its own SESSP, UNICEF has built upon good practice and drawn on lessons learned from the Model Approach in addition to the policies and guidelines of other entities in the UN system, and especially from UNDP, UNIDO, and UNEP, all of which have had management approval of social and environmental sustainability frameworks (SES Frameworks) in recent years. It has also referenced [World Bank](#) and [Asian Infrastructure Investment Bank](#) Environmental and Social Frameworks. To a greater or lesser extent, all of the UN and other agency ESS Frameworks mentioned above follow the basic architecture recommended by the UN EMG Interim Guide and the model approach. It should be noted, however, that the SESSPs of UNDP, UNIDO, and UNEP focus predominantly on the programmes/projects entry point. This is mainly because this is where “do no harm” safeguard procedures belong, and it is these that the donors have been interested in evaluating. For the same reason, UNICEF has also begun the process of development and implementation by focusing on the programmes/projects entry point, with a phased expansion into other entry points as internal capacities eventually allow.

2.2 Objectives of the SES

The Social and Environmental Standards (SES) underpin UNICEF’s commitment to the 2030 Agenda by ensuring social and environmental sustainability is mainstreamed across all programming. The SES are UNICEF policy and require that all UNICEF programming maximizes social and environmental¹ opportunities and benefits as well as ensures that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed. The SES do not define the substantive development outcomes and results orientation of UNICEF’s programming, as this is elaborated in UNICEF’s Strategic Plan and Programme Documents.

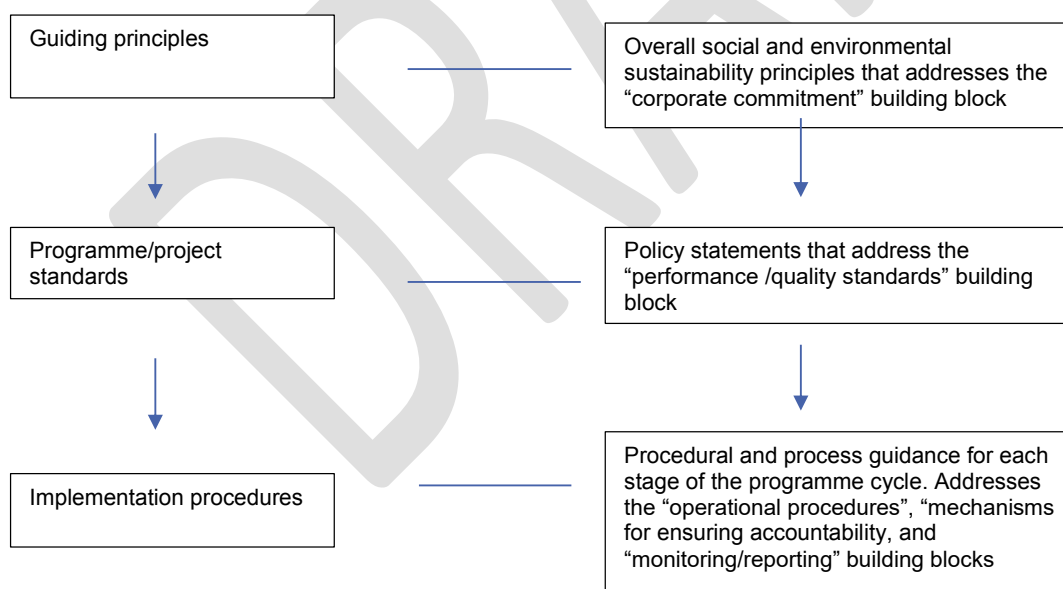
Through application of the SES, UNICEF enhances the consistency, transparency and accountability of its decision-making and actions, improves performance, and strengthens achievement of sustainable development outcomes. The SES assist UNICEF staff and Implementing Partners to manage social and environmental risks and impacts of UNICEF Programmes and Projects.

3. The SES objectives are to: (i) strengthen the quality of programming by ensuring a principled approach; (ii) avoid adverse impacts to people and the environment; (iii) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (iv) strengthen UNICEF and partner capacities for managing social and environmental risks; and (v) ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

2.3 The Architecture of the SESSP

The common approach to the design of the recent UN agency ESS Frameworks that focus on the programmes/projects entry point, is presented in Figure 1:

Figure 1: Proposed Social and Environmental Sustainability Standards and Procedures Architecture



The UNICEF SESSP also follows this architecture. The structure allows for the presentation of a strong principles section that demonstrates the agency’s high-level commitment (Section 3); a careful elaboration of

¹ The term “social and environmental” should be understood to include the breadth of issues in the Programming Principles and Project-level Standards.

programme/project standards that meet both internal agency requirements and the needs of external donors (Section 4); a section dealing with procedures for implementing the Procedures (Section 5); and then, separate sets of detailed procedural guidance dealing with screening, assessment, and management, and on stakeholder response mechanisms.

2.4 The Scope of the SESSP

Section 2.1 introduced the idea that UN agencies should consider social and environmental sustainability measures at three “entry points”. These are: policies/strategies; programmes/projects; and, operations/facilities.

The first phase of implementation of UNICEF’s SESSP will focus on the second entry point (i.e. assessment of the risks and benefits associated with programmes² and projects³). The SESSP automatically applies to all UNICEF programmes and projects, and the agency will ensure that SESSP requirements will be considered throughout the UNICEF programme cycle.

Assessments at the programme and/or project level may trigger a requirement to prepare and implement any one of several impact management instruments identified in the SESSP, depending on the assessed risk(s) of the programme or project under consideration. The Procedures will require UNICEF to address such social and environmental risks and opportunities in an integrated manner, recognizing the inter-linkages among the social and environmental dimensions of sustainable development.

The SESSP is intended to be used by UNICEF and/or its implementing partners to:

- * identify and evaluate the social and environmental implications of an intended programme or project;
- * ensure that potential adverse impacts and risks are assessed and avoided, or where avoidance is not possible, minimized, mitigated and managed;
- * identify and enhance the opportunities an operation provides for positive social and environmental outcomes;
- * consider the direct, indirect, cumulative and induced social and environmental impacts of programme/project activities in the programming area of influence, including associated facilities.
- * promote and monitor improved social and environmental performance of implementing partners and UNICEF staff who execute programmes and projects;
- * promote and provide means for adequate engagement with concerned communities and other stakeholders throughout project preparation and implementation, and ensure that relevant social and environmental information is disclosed and disseminated; and
- * ensure that stakeholder responses are managed appropriately.

UNICEF programmes and projects will be screened to determine risk level and the scope of impact identification and management needed to respond to the risk, taking into account the type, scale, and economic setting of the programme or project. All potentially adverse impacts will be assessed and avoided, or where avoidance is not possible, minimized, mitigated and managed.

² A “UNICEF Programme” refers to UNICEF’s cooperation in a country, directed to a variety of services and activities to benefit and support the human rights of children and women. Country Programmes will normally consist of two or more programme components which correspond to themes or sectors. Programme components are outlined in a Country Programme Document, with each having a separate budget line in the CPD budget table. Each Programme Component will have one or more Outcomes, and each Outcome can only be linked to one Programme Component in VISION. From a results perspective, a Programme component is a group of Outcomes that are often related by sector or thematic issue.

³ In the UNICEF context a “UNICEF project” refers to a set of planned activities over a specific period which contribute to the Programme components and the outcomes in those components.

This SESSP provides the main architectural components of UNICEF's commitment, scope and approach. Its implementation should be looked at together with other relevant UNICEF policies, such as: the Strategic Framework on Environmental Sustainability for Children 2016 – 2017; the Core Commitments for Children in Humanitarian Action; the Guidelines on Engaging Children with Disabilities in Decisions Affecting their Lives; the UNICEF Policy on Gender Equality and the Empowerment of Girls and Women; UNICEF Gender Operational Guidance; Briefing Note Accelerating Results for the Most Disadvantaged Children: Monitoring Results for Equity System; Risk Informed Programming Guidelines and, Guidelines for Human Rights Based Approach. .

The SESSP is to be implemented through the following associated tools:

- (i) Social and Environmental Screening Note (SESN);
- (ii) SESSP Implementation Guidance; and,
- (iii) Stakeholder Grievance and Response Mechanism (SGRM).

UNICEF recognizes the importance of integrating all three of the entry points. However, considering the complexity and magnitude of engaging in all three pillars of the SESSP implementation at the same time, it has been decided to focus initial efforts at the programme/project level only, and to build related capacity in UNICEF staff and in implementing/executing partners. UNICEF will take a phased expansion approach to the other entry points, as the internal capacity in SESSP implementation strengthens and the operational modalities establish and become rooted.

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3. Guiding Principles

3.1 Statement of Commitment

Social and environmental sustainability is fundamental to the achievement of development outcomes and is systematically mainstreamed into UNICEF's programme and project cycles through consistent application of a social and environmental screening and assessment procedure. Opportunities to strengthen the social and environmental sustainability of programmes and projects need to be identified and realized. A precautionary approach shall be applied, and potential adverse impacts and risks need to be avoided or minimized if possible and mitigated if not.

Within the SESSP, UNICEF is committed to ensuring that its programmes and projects comply with its standards by assessing environmental, climate change and social risks and impacts as early as possible in the programme/project cycle and providing effective monitoring and supervision of agreed social and environmental management measures during project implementation. If the agency finds that the social or environmental impacts of any of its proposed projects are not likely to be adequately addressed, it will not proceed with the programme/project unless those impacts are addressed. These requirements will also be applied to UNICEF implementing partners as they deliver work for which UNICEF has overall responsibility for management and results.

The SESSP sets out the overarching principles and implementation modalities for identifying and avoiding or mitigating social and environmental risks, and also for discerning and exploring opportunities to enhance positive social and environmental outcomes. Operational details of the safeguards enumerated in the SESSP are set forth in separate documents⁴ and will provide implementation-related details, such as process requirements and institutional arrangements.

3.2 United Nations Sustainable Development Cooperation Framework (UNSDCF) Guiding Principles

UNICEF applies the United Nations Sustainable Development Group's (UNSDG) integrated programming principles for UN Sustainable Cooperation Frameworks (UNSDCFs).⁵ These principles form the normative foundation for the UNSDCF and integrated programming in all country contexts, with **"leave no one behind"** as the overarching and unifying principle. Leaving no one behind and reaching the furthest behind first is at the core of programming and advocacy efforts across all UN agendas. This principle is elaborated through the integrated programming principles of human rights, gender equality and women's empowerment; sustainability and resilience; and accountability.

3.3 Guiding Principle 1: Leave No One Behind

Leaving no one behind is the central, transformative promise of the 2030 Agenda. It represents the unequivocal commitment of all UN Member States to eradicate poverty in all its forms, end discrimination and exclusion, and reduce the inequalities and vulnerabilities that leave people behind and undermine the potential of individuals and of humanity as a whole. As an overarching guiding principle, leaving no one behind requires the UN system to prioritize its programmatic interventions to address the situation of those most marginalized, discriminated and excluded, and to empower them as active agents of the development process.

⁴ Social and Environmental Screening Note (SESN); SESSP Implementation Guidance; and, Stakeholder Grievance and Response Mechanism (SGRM).

⁵ [UN Sustainable Development Cooperation Framework](#), June 2019.

it requires addressing the multidimensional approach to address the myriad layers of deprivation, disadvantage and discrimination.⁶ The principle serves as a cornerstone for coherence across the development, humanitarian, human rights and peace building agendas of the UN system.

- UNICEF will uphold the human rights principle of equality and non-discrimination and ensure that marginalized and disadvantaged groups and individuals are appropriately identified, provided equal access to programming benefits and resources, and are not left behind due to discrimination or personal vulnerabilities;
- UNICEF will promote the active participation of marginalized and disadvantaged groups in country programming. Where necessary, the UN entity shall undertake differentiated measures to strengthen the voice and participation of marginalized and disadvantaged groups and individuals;
- UNICEF will make special efforts to minimize and mitigate any potential adverse impacts from supported activities on marginalized and disadvantaged groups, considering that such groups may be disproportionately affected; and
- UNICEF will promote protection of the most marginalized and vulnerable children and young people as well as other marginalized and vulnerable groups and individuals facing crisis and conflict situations and those most likely to be affected by climate change and natural disasters.

3.4 Guiding Principle 2: Human Rights Based Approach, Gender Equality and Women’s Empowerment

Human Rights

UNICEF’s SESSP is founded on a human rights-based approach, including the rights of future generations. UNICEF recognizes the centrality of human rights to sustainable development, poverty alleviation, and ensuring fair distribution of development opportunities and benefits and is committed to supporting universal respect for, and observance of, human rights and fundamental freedoms for all.⁷

UNICEF adheres to the United Nations Development Group (UNDG) Statement of Common Understanding of the Human Rights-Based Approach to Development Cooperation and Programming (UN Common Understanding)⁸ which states that development programmes and policies should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other human rights instruments. In further the realization of rights, UNICEF refrains from providing support for activities that may contribute to violations of a State’s human rights obligations and the core international human rights treaties,⁹ and seeks to support the protection and fulfillment of human rights.

In its Programmes and Projects, UNICEF will uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of

⁶ UNSDG, [Leaving No One Behind: A UNSDG Operational Guide for Country Teams](#) (interim draft), April 2019.

⁷ Charter of the United Nations, Article 1, para. 3

⁸ UN Common Understanding

[http://www.undg.org/content/programming_reference_guide_\(undaf\)/un_country_programming_principles/human_rights-based_approach_to_development_programming_\(hrba\)](http://www.undg.org/content/programming_reference_guide_(undaf)/un_country_programming_principles/human_rights-based_approach_to_development_programming_(hrba)).

⁹ These include the following: International Convention on the Elimination of All Forms of Racial Discrimination (1969), International Covenant on Civil and Political Rights (1976), International Covenant on Economic, Social and Cultural Rights (1976), Convention on the Elimination of All Forms of Discrimination against Women (1981), Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1987), Convention on the Rights of the Child (1990), International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (2003), International Convention for the Protection of All Persons from Enforced Disappearance (2010), Convention on the Rights of Persons with Disabilities (2008).

discrimination include race, colour, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. UNICEF will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of Programmes and Projects.

In addition, UNICEF programming is inclusive of and accessible to persons with disabilities, with reasonable accommodations¹⁰ provided to ensure that persons with disabilities can exercise all human rights and fundamental freedoms on an equal basis with others.

UNICEF upholds human rights and the application of UN humanitarian principles in emergency/crisis response and humanitarian action in the application of UN humanitarian principle.

UNICEF also supports governments and other State actors to adhere to their obligations and duties to respect, to protect, and to fulfill human rights and will refrain from supporting activities that may contribute to violations of a State's human rights obligations under international law;

UNICEF will undertake environmental and social due diligence to identify, prevent, mitigate and account for any actual or potential adverse human rights impacts.

Gender Equality and Women's Empowerment

UNICEF programming will be designed and implemented in a manner that will promote gender equality, equal opportunities, and fair treatment of women and men. As a result, UNICEF will:

- Ensure supported activities do not discriminate against women and girls, reinforce gender-based inequalities and exclusion, or have disproportionate adverse gender-related impacts;
- Conduct gender analysis to promote the design and implementation of gender responsive and gender transformative programming that addresses different needs and constraints of women, men, girls, and boys, taking into account the effects of multiple forms of discrimination;
- Promote equal access to and control over productive resources and programming benefits;
- Conduct gender-sensitive stakeholder analysis and strengthen women's participation in decision-making;
- Empower and prioritize the needs of marginalized and vulnerable women, men, girls and boys;
- Track progress on gender results, including use of sex-disaggregated data and gender sensitive indicators; and
- Adopt measures that seek to prevent and appropriately respond to incidences of sexual harassment, gender-based violence and/or sexual exploitation and abuse of women, men, girls and boys that may occur in connection with programming. UNICEF will provide appropriate training to personnel and ensure that effective reporting and response protocols are in place, referrals for safe and confidential survivor assistance, and prompt investigation of allegations of such incidences.

¹⁰ Article 2 of the Convention on the Rights of Persons with Disabilities defines reasonable accommodations as “[n]ecessary and appropriate modification and adjustments not imposing a disproportionate or undue burden, where needed in a particular case, to ensure to persons with disabilities the enjoyment or exercise on an equal basis with others of all human rights and fundamental freedoms.”

3.5 Guiding Principle 3: Sustainability and Resilience

The 2030 Agenda has the objective of enhancing human well-being through sustainable economic growth and ensuring the lasting protection of the planet and its natural and cultural resources. UNICEF supports the implementation of international conventions and agreed policy frameworks to promote sustainability and to increase the resilience of societies, including the [Paris Agreement](#), [the United Nations Framework Convention for Climate Change](#), [the Sendai Framework for Disaster Risk Reduction](#), and [the Quito Declaration on Sustainable Cities and Human Settlements for All](#). In its programming, UNICEF supports efforts to reduce risks and vulnerabilities associated with natural and human-made hazards, climate change, violence, conflict, political and social instability or economic volatility. As a result, UNICEF will:

- Integrate social, environmental and economic sustainability considerations into all aspects of country programming;
- Conduct sound environmental and social risk assessment of proposed initiatives and apply environmental and social safeguards to avoid, and where avoidance is impossible, minimize and mitigate adverse impacts to people and the environment per the mitigation hierarchy;
- Include underlying risk drivers in environmental and social risk assessments of proposed initiatives to avoid unforeseen long-term adverse impact to people and the environment and to strengthen resiliency;
- Apply a precautionary approach¹¹ to addressing significant environmental and social challenges;
- Identify and address vulnerability of people, and in particular vulnerabilities of marginalized and disadvantaged groups, to potential climate change impacts and disaster risks; and
- Identify and address interconnections among issues related to the environment, human rights, conflict, crises and vulnerability, where relevant.

3.6 Guiding Principle 4: Accountability

UNICEF will not support activities that do not comply with applicable national laws and host country obligations under international law (hereinafter “Applicable Law”).

UNICEF promotes accountability to Programme and Project stakeholders by

- (i) enabling active local community engagement and participation in decision-making¹², particularly those at risk of being left behind;
- (ii) ensuring transparency of programming interventions through provision of timely, accessible and functional information regarding supported activities, including on potential environmental and social risks and impacts and management measures;
- (iii) ensuring stakeholders can communicate their concerns and have access to rights-compatible complaints redress processes and mechanisms; and
- (iv) ensuring effective monitoring—and where appropriate, participatory monitoring with stakeholders—and reporting on implementation of social and environmental risk management measures.

¹¹ See Principle 15 of the [Rio Declaration on Environment and Development](#), (1992) noting that the lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent serious threats of environmental degradation.

¹² The [Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters](#) and its [Almaty Guidelines](#) support key dimensions of the accountability guiding principle

4. Programme/Project Standards

4.1 Introduction: Focus of the Standards

The Guiding Principles set out the basic tenets that guide and underpin UNICEF's approach to the Social and Environmental Standards. At the programme and field level, Social and Environmental Standards (SES) 1-8 are designed to help manage and improve UNICEF's social and environmental performance through a risk and outcome-based approach. The procedure for assessing and managing social and environmental risks and impacts associated with each of the Standards is outlined in Section 5 (Implementation Procedures).

The Standards are as follows:

- SES 1: Labour and Working Conditions
- SES 2: Resource Efficiency and Pollution Prevention
- SES 3: Community Health, Safety and Security
- SES 4: Land Acquisition/Displacement and Involuntary Resettlement
- SES 5: Biodiversity Conservation and Sustainable Natural Resource Management
- SES 6: Indigenous Peoples
- SES 7: Cultural Heritage
- SES 8: Climate Change and Disaster Risks

Given UNICEF's unique mandate, issues related to children's rights, disability rights, and gender equality are mainstreamed into each of the eight Standards.

4.2 Structure of the Standards

All eight Standards are focused at the programme/project level entry point. Their primary purpose is to ensure that social and environmental risks are taken into account in the development and implementation of programmes and projects. They are therefore "safeguard" standards, directed mostly at ensuring that UNICEF actions "do no harm".

The Standards ensure that a precautionary approach is applied in proposed UNICEF programmes and projects, and that potential adverse impacts and risks are avoided or minimized if possible and mitigated if not. These Standards are triggered by the social and environmental screening and assessment procedure outlined in Section 5.

The SES Social and Environmental Management System (see subsequent section) describes the requirements regarding (i) screening, assessment and management of social and environmental risks and impacts; (ii) stakeholder engagement and response mechanisms; (iii) access to information; and (iv) monitoring, reporting and compliance.

Each Standard is structured in the following fashion:

- A. Introduction
- B. Objectives
- C. Scope of application
- D. Specific requirements

4.3 SES 1: Labour and Working Conditions

A: Introduction

The pursuit of inclusive and sustainable economic growth, full and productive employment and decent work for all requires the protection of workers' fundamental rights, their fair treatment, and the provision of safe and healthy working conditions. Programming activities shall enhance employment promotion benefits, development outcomes and sustainability by ensuring sound worker-management relationships and cooperation in their design and implementation. The benchmark standards set out herein have been guided by a number of international conventions and instruments, including those of the International Labour Organization (ILO) and the United Nations (UN).¹³

B: Objectives

- To promote, respect and realize fundamental principles and rights at work¹⁴ through:
 - Supporting freedom of association and the effective recognition of the right to collective bargaining;
 - Preventing the use of child labour and forced labour;
 - Preventing discrimination and promoting equal opportunity of workers;
- To protect and promote the safety and health of workers;
- To ensure projects/programmes comply with national employment and labour laws and international commitments; and
- To leave no one behind by protecting and supporting workers in disadvantaged and vulnerable situations, including a special focus, as appropriate, on women workers, young workers, migrant workers and workers with disabilities.

C: Scope of application

The applicability of SES 1 is established during the social and environmental screening (see Section 5) and is applied to all UNICEF programmes and projects that potentially have either positive or negative employment effects. The requirements regarding labour and working conditions apply to all workers employed or engaged directly by the Project to work specifically in relation to the Project (direct workers), by third parties¹⁵ to perform work related to the core functions¹⁶ of the Project regardless of location (contractor workers), and by

¹³ These conventions include among others:

ILO Convention 87 on Freedom of Association and Protection of the Right to Organize

ILO Convention 98 on the Right to Organize and Collective Bargaining

ILO Convention 29 on Forced Labour and Protocol of 2014

ILO Convention 105 on the Abolition of Forced Labour

ILO Convention 138 on Minimum Age (of Employment)

ILO Convention 182 on the Worst Forms of Child Labour

ILO Convention 100 on Equal Remuneration

ILO Convention 111 on Discrimination (Employment and Occupation)

ILO Convention 155 on Occupational Safety and Health

ILO Convention 161 on Occupational Health Services

UN Convention on the Rights of the Child, Article 32. IUN Convention on the Protection of the Rights of all Migrant Workers and Members of their Families

¹⁴ [ILO Declaration on Fundamental Principles and Rights at Work](#) (1998).

¹⁵ "Third parties" may include contractors, subcontractors, brokers, agents or intermediaries.

¹⁶ "Core functions" of a project/programme constitute those production and/or service processes essential for a specific activity without which the project/programme cannot continue.

its primary suppliers¹⁷ (primary supplier workers). The requirements apply to full-time, part-time, temporary, seasonal and migrant workers, and are to be addressed by the party or parties responsible for implementing the relevant project activities.

D: Specific requirements

1. **Terms and conditions of employment:** Ensure that applicable written human resources management policies and processes are in place.¹⁸ These policies and processes shall set out the conditions in which project/programme workers will be employed or engaged and managed, in accordance with the standards herein and national law.¹⁹ ²⁰ The policies and processes shall be appropriate to the size, locations and workforce of project/programme activities.
2. Provide project/programme workers with information and documentation that is clear and understandable regarding their terms and conditions of employment, including information that sets out their rights under national labour, employment and social protection law (including any applicable collective agreements), and their rights related to hours of work, wages, overtime, compensation and benefits, occupational safety and health and the benchmark standards herein.²¹ This information and documentation shall be provided at the beginning of the working relationship and when any material changes to the terms or conditions of employment or engagement occur.
3. Project/programme workers shall be paid on a regular basis as required by human resources management policies and national law.²² Deductions from payment of wages shall only be made as allowed by human resources management policies and national law, and project/programme workers shall be informed of the conditions under which such deductions will be made. Project/programme workers shall be provided with adequate periods of rest per week, annual holiday and sick, maternity and family leave, as required by human resources management policies and national law.
4. Project/programme workers shall receive written notice of termination of employment and details of severance payments in a timely manner as required by national law or human resources management policies. Terminations shall be carried out in a non-discriminatory manner and, when applicable, after consultation with workers or their trade union. All wages that have been earned, social security benefits, pension contributions and any other entitlements shall be paid, either directly to the project/programme workers or, where appropriate, for the benefit of the project/programme workers. Where payments are made for the benefit of project/programme workers, such workers shall be provided with evidence of such payments.
5. **Non-discrimination and equal opportunity:** Decisions relating to the employment or treatment of project/programme workers shall not be made on the basis of personal characteristics unrelated to inherent job requirements.²³ The employment of project/programme workers shall be based on the

¹⁷ “Primary suppliers” are those suppliers who, on an ongoing basis, provide directly to the project/programme goods or materials essential for the core functions of the project/programme.

¹⁸ Labour management procedures include relevant human resources policies and policies and procedures for the engagement of contractors.

¹⁹ The requirements, whether herein or in national law, that are the most protective of workers shall apply unless the application of requirements herein would violate national law.

²⁰ For project/programme workers who are employed or engaged by the United Nations and its specialized agencies, conditions of employment are governed by the respective entity’s internal rules, in accordance with the relevant provisions of the Convention on the Privileges and Immunities of the United Nations, 1946.

²¹ Ibid.

²² Ibid.

²³ Such as gender, sex, race, colour, nationality, national extraction, political opinion, affiliation or non-affiliation to a union, ethnic, social or indigenous origin, religion of belief, marital or family status, disability, age, sexual orientation or gender identity.

principle of equality of opportunity and treatment, and there shall be no discrimination with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, or disciplinary practices. Women and men shall receive equal remuneration for work of equal value. The human resources management policies shall set out measures to prevent and address violence, harassment, intimidation and/or exploitation. Where national law is inconsistent with this paragraph, carry out activities in a manner that is consistent with these benchmark standards to the extent possible.

6. Special measures of protection and assistance to remedy discrimination or selection for a particular job based on the inherent requirements of the job shall not be deemed as discrimination.
7. Provide appropriate measures of protection and assistance to address the vulnerabilities of project/programme workers, including specific groups of workers, such as women, persons with disabilities, migrant workers and young workers. Such measures may be necessary only for specific periods of time, depending on the worker's circumstances and the nature of the vulnerability. The terms and conditions of employment of project/programme workers who are migrants (domestic or foreign) shall be the same or substantially equivalent to those of non-migrant project/programme workers performing the same type of work.
8. **Workers organizations:** In countries where national law recognizes workers' rights to form and to join workers' organizations of their choosing and to bargain collectively without interference, the project/programme shall be implemented in accordance with national law. In such circumstances, the role of legally established workers' organizations and legitimate workers' representatives shall be respected and shall be provided with information needed for meaningful negotiation in a timely manner. Where national law restricts workers' organizations or is silent, the responsible party shall not restrict project/programme workers from developing alternative mechanisms to express their grievances and protect their rights regarding working conditions and terms of employment; seek to influence or control these alternative mechanisms. The responsible party shall not discriminate or retaliate against project/programme workers who participate, or seek to participate, in such workers' organizations and collective bargaining or alternative mechanisms.
9. **Forced labour:** Forced labour, which consists of any work or service not voluntarily²⁴ performed that is exacted from an individual under threat of force or penalty, shall not be used in connection with the project/programme.²⁵ This prohibition covers any kind of involuntary or compulsory labour, such as indentured labour, bonded labour, or similar labour-contracting arrangements. No trafficked persons shall be employed in connection with the programming activities.²⁶
10. Where cases of forced labour are identified, immediate steps shall be taken to correct and remedy them.
11. **Child labour:** Child labour, which consists of employment of children below the minimum age of employment as defined by the ILO Minimum Age Convention, 1973 (No. 138) and ILO Worst Forms of Child

²⁴ Work is on a voluntary basis when it is done with the free and informed consent of a worker. Such consent must exist throughout the employment relationship and the worker must have the possibility to revoke freely given consent. In particular, there can be no "voluntary offer" under threat or other circumstances of restriction or deceit. To assess the authenticity of a free and informed consent, it is necessary to ensure that no external constraint or indirect coercion has been carried out, either by an act of the authorities or by an employer's practice.

²⁵ See the Forced Labour Convention, 1930 (No.29), as well as the Protocol of 2014 to the Forced Labour Convention.

²⁶ Trafficking in persons is defined as the recruitment, transportation, transfer, harboring or receipt of persons by means of the threat or use of force or other forms of coercion, abduction, fraud, deception, abuse of power, or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purposes of exploitation. Women and children are particularly vulnerable to trafficking practices.

Labour Convention, 1999 (No. 182), shall not be used in connection with or arise from the programming activities.

12. A minimum age for employment shall be specified in connection with the programming activities, as determined by national law and consistent with the ILO Convention No. 138.²⁷
13. Regardless of the minimum age for employment, a child under the age of 18 may not perform work in connection with or arising from the programming activities which, by its nature or the circumstances in which it is carried out, is likely to harm his/her health, safety or morals. Such work is determined by national laws or regulations or by the competent authority and commonly specified in national lists of hazardous work prohibited to children. In the absence of such regulations, guidance on hazardous work to be prohibited in connection with programming should derive from the relevant ILO instruments.²⁸ In addition, a child under the age of 18 may not, in connection with the programming activities, perform work that is likely to interfere with his/her compulsory education or be harmful to his/her physical, mental, spiritual, moral or social development.
14. Where cases of child labour are identified, immediate steps shall be taken to correct and remedy them, including the rehabilitation and social integration of the child where necessary and appropriate.
15. **Occupational safety and health (OSH):** Necessary processes and measures that address the safety and health of project/programme workers shall be in place to support programming design, planning and implementation. These processes and measures may be encompassed and implemented through the responsible party's occupational safety and health management system²⁹ and shall address:
 - (a) Identification and assessment of potential hazards and risks, particularly those that could result in serious injury, ill health or death and those identified through worker health surveillance;
 - (b) The elimination of hazards and minimization of risks through the implementation of preventive and protective measures implemented in the following order of priority: elimination or substitution, engineering and organizational controls, administrative controls, and where residual hazards and risks cannot be controlled through these collective measures, provision of personal protective equipment at no cost to the worker;
 - (c) Safety and health training, including on the proper use and maintenance of personal protective equipment, at no cost to workers conducted by competent persons and the maintenance of training records;
 - (d) Recording and notification of occupational accidents and incidents and any resulting injuries, ill health or death;
 - (e) Emergency prevention and preparedness and response arrangements to emergency situations; and

²⁷To be consistent with the ILO Minimum Age Convention, 1973 (No. 138), the applicable minimum age will not be less than the age of completion of compulsory schooling and, in principle, not less than 15 years.

²⁸ See ILO Worst Forms of Child Labour Convention, 1999 (No. 182) and ILO Worst Forms of Child Labour Recommendation, 1999 (No. 190). Examples of hazardous work activities prohibited for children include work: (a) with exposure to physical, psychological or sexual abuse; (b) underground, underwater, working at heights or in confined spaces; (c) with dangerous machinery, equipment or tools, or involving handling or transport of heavy loads; (d) in unhealthy environments exposing children to hazardous substances, agents, or processes, or to temperatures, noise or vibration damaging to health; or (e) under particularly difficult conditions such as work for long hours, during the night or in unreasonable confinement on the premises of the employer.

²⁹ [ILO Guidelines on Occupational Safety and Health Management systems, 2001](#). See also [United Nations Common System Occupational Safety and Health Framework](#), Chief Executives Board, 31 March 2015

(f) Employment injury benefits and/or remedies for adverse impacts such as occupational injuries, disability, ill health or disease and death.³⁰

16. All parties who employ or engage project/programme workers put in place the above safety and health processes and measures³¹ to prevent and protect workers from chemical, physical, biological and psychosocial hazards (including violence and harassment) and to establish and maintain safe and healthy workplaces including the work environment, organization, processes, tools machinery and equipment.³² Such parties shall actively consult and collaborate with project/programme workers and promote their understanding and participation in the implementation of safety and health measures, as well as provide them information, training and personal protective equipment. Mechanisms shall be used for consultation and participation of project/programme workers, such as worker safety representatives or joint worker-management safety and health committees.
17. Workplace mechanisms shall be made available for project/programme workers to report work situations that they believe are not safe or healthy and to remove themselves from a work situation they have reasonable justification to believe presents an imminent and serious danger to their life or health. Project/programme workers who remove themselves from such situations shall not be required to return to work until necessary remedial action to correct the situation has been taken and shall not be retaliated against or otherwise subject to reprisal or negative action.
18. Project/programme workers shall be provided with safe and healthy facilities appropriate to the circumstances of their work, including access to canteens, hygiene facilities, and appropriate areas for rest. Where accommodation services are provided to project/programme workers, policies shall be put in place and implemented on the management and quality of accommodation to protect and promote the health, safety, and well-being of the project/programme workers, and to provide access to or provision of services that accommodate their physical, social and cultural needs.
19. Where more than one party are employing, or engaging workers and such workers are working together in one location, the parties who employ or engage the workers shall collaborate in applying the OSH measures, without prejudice to the responsibility of each party for the safety and health of its own workers. The design and implementation of OSH measures shall be reviewed, and necessary action taken in the event of significant changes in the working conditions or workers.
20. A process for conducting accident investigations and regular evaluation of preventive and protective measures and OSH performance shall be put in place and necessary corrective actions shall be adopted based on the results of such investigations and evaluations.
21. **Workplace grievance mechanism:** A grievance mechanism shall be provided for all project/programme workers (and, where relevant, their organizations) to raise concerns of violations of existing rights and entitlements as provided for in legislation, collective agreements, employment contracts and human resources policies. Workers shall be informed of the grievance mechanism at the time of recruitment and the measures put in place to protect them against any reprisal for its use. Measures shall be put in place to make the grievance mechanism easily accessible to all such project/programme workers.
22. The grievance mechanism shall be designed to address workers' concerns promptly, using an understandable, transparent process that provides timely feedback to those concerned in a language they understand, without any retribution, and shall operate in an independent and objective manner. The

³⁰ These would include for example necessary insurance arrangements that ensure access to health benefits and replacement of loss of earnings in case of a work-related injury, namely in case of death or an illness due to work.

³¹ OSH measures should take into consideration [ILO Codes of Practice](#) and Good International Industry Practice where applicable.

³² See also *ILO Conventions 167, 184, and 176 on OSH in Construction, Agriculture and Mining*

grievance mechanism may utilize existing grievance mechanisms, providing that they are properly designed and implemented, address concerns promptly, and are readily accessible. Existing grievance mechanisms may be supplemented as needed with project/programme-specific arrangements.

23. The grievance mechanism shall not impede access to other judicial or administrative remedies that might be available under the law or through existing arbitration procedures, or substitute for grievance mechanisms provided through collective agreements. The mechanism shall ensure workers' rights to be present and to participate directly in the proceedings and to be represented by a trade union or person of their choosing.
24. **Contractor/Third Party Workers:** Conduct due diligence to ascertain that third parties who engage project/programme workers are legitimate and reliable entities and have in place human resources management policies and processes and applicable OSH management systems that allow them to operate in accordance with the benchmark standards herein.³³
25. Establish procedures for managing and monitoring the performance of such third parties in relation to the benchmark standards provided in this thematic area, including incorporation of the benchmark standards into contractual agreements with such third parties, together with appropriate noncompliance remedies. In the case of subcontracting, require such third parties to include equivalent requirements and remedies in their contractual agreements with subcontractors.
26. Contractor workers shall have access to a grievance mechanism. Where the third party employing or engaging the workers is not able to provide an easily accessible grievance mechanism, the grievance mechanism provided to direct project/programme workers shall be made available.
27. **Primary Supplier Workers.** Identify potential risks of violations of supplier workers' fundamental rights³⁴ and safety and health issues which may arise in relation to primary suppliers (at a minimum), requiring the primary supplier to identify those risks. Establish roles and responsibilities for monitoring primary suppliers. If child labour or forced labour cases or breaches of other fundamental rights are identified, require the primary supplier to take appropriate steps to remedy them.
28. Additionally, where primary supplier workers are exposed to hazards that present a risk of serious injury, ill health or death, require the relevant primary supplier to introduce procedures and mitigation measures to address such safety and health issues. Such procedures and mitigation measures shall be reviewed periodically to ascertain their effectiveness.
29. The ability to address the risks identified in paragraphs 30 and 31 shall depend upon the responsible party's level of control or influence over its primary suppliers. Where prevention and remedy are not possible, shift the project/programme's primary suppliers to suppliers that can demonstrate that they are meeting the relevant benchmark standards herein. Where there is imminent danger of serious injury, ill health or death to workers, the responsible party shall exercise its control or influence to stop the operation concerned until such time as the primary supplier can demonstrate that it can control the hazard in a manner consistent with the benchmark standards herein.

³³ Due diligence should include an examination of the past and current labour practices of the contractor/third party.

³⁴ Freedom of association and the right to collective bargaining; the abolition of child and forced labour and non-discrimination and equal opportunity.

4.4 SES 2: Resource Efficiency and Pollution Prevention

A: Introduction

Increased industrial activity, urbanization, and intensive agricultural development often generate increased levels of pollution³⁵ to air, water, and land, and consume finite resources in a manner that may threaten people and the environment at the local, regional, and global level. Pollution prevention and resource efficiency are core elements of a sustainable development agenda and the programming of UN entities needs to meet good international practice in this regard.

B. Objectives

- To avoid and minimize adverse impacts on human health and the environment from pollution;
- To promote more sustainable and efficient use of resources, including energy, land and water;
- To avoid or minimize programming-related emissions of short and long-lived climate pollutants³⁶ and ozone-depleting substances;³⁷
- To avoid or minimize generation of hazardous and non-hazardous substances and wastes, and promote a human rights-based approach to the management and disposal of hazardous substances and wastes;³⁸ and
- To promote safe, effective, environmentally sound pest management.

C. Scope of application

The applicability of SES 2 is established during the social and environmental screening (see Section 5). Requirements of this Standard apply to programmes or projects that (i) aim to improve existing waste management practices; (ii) generate or cause generation of solid, liquid or gaseous waste; (iii) use, cause use of, or manage the use, storage or disposal of hazardous materials and chemicals, including pesticides; and (iv) that significantly consume or cause consumption of water, energy, or other resources.

D. Specific requirements

1. **Resource efficiency:** UNICEF programmes and projects will explore technically and financially feasible approaches for the efficient use of energy, water, and other resources and materials in line with the concept of cleaner production and for using raw materials, energy, and water sustainably. Programmes and projects will consider alternatives and implement technically and financially feasible options to reduce project-related GHG emissions, including alternative locations, the use of renewable or low-carbon energy sources, energy efficiency, sustainable agriculture, forestry and livestock management practices.

³⁵ For the purposes of this thematic area, the term “pollution” refers to both hazardous and nonhazardous pollutants in the solid, liquid, or gaseous phases, and includes other components such as pests, pathogens, thermal discharge to water, GHG emissions, ozone-depleting substances, nutrient pollution, nuisance odors, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light.

³⁶ This includes GHGs (see the Climate Change Mitigation and Adaptation and Disaster Risk Reduction thematic area) and black carbon.

³⁷ According to the Scientific Assessment Panel of the Montreal Protocol, an ODS is a substance that leads to stratospheric ozone depletion. Under the Montreal Protocol, most of the widely used ODSs are controlled. These include, among others, chlorofluorocarbons (CFCs), carbon tetrachloride (CCl₄), methyl chloroform (CH₃CCl₃), halons, methyl bromide (CH₃Br) and hydrochlorofluorocarbons (HCFCs).

³⁸ In this regard, due consideration should be given to the [Guidelines for good practices in relation to the human rights obligations related to the environmentally sound management and disposal of hazardous substances and wastes](#) (2017), prepared by the Special Rapporteur on the implications for human rights of the environmentally sound management and disposal of hazardous substances and wastes.

2. **Pollution prevention:** UNICEF will ensure that programmes or projects avoid the release of pollutants, and when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances³⁹. UNICEF will ensure that pollution prevention and control technologies and practices consistent with national law or international good practice, whichever is more stringent, are applied during the life cycle of programmes and projects.⁴⁰ If less stringent measures (as compared to good international practice) are appropriate, UNICEF will fully justify the chosen alternative through the assessment process, demonstrating that the alternative is consistent with these requirements. The technologies and practices applied will be tailored to the hazards and risks associated with the nature of the programme or project.
3. **Ambient considerations:** To address adverse impacts on existing ambient conditions (such as air, surface water, groundwater, and soils), a number of factors will be considered, including the finite assimilative capacity of the environment,⁴¹ existing and planned land use, existing ambient conditions, the Project's proximity to ecologically sensitive or protected areas (see Standard 1), the potential for cumulative impacts with uncertain and irreversible consequences, and strategies for avoiding and minimizing the release of pollutants. If the Project activities will generate significant pollutants in already degraded/polluted areas, adopt measures that avoid and minimize potential negative effects, including potential alternative locations. The Project will control runoff of contaminated water from Project sites and ensure polluted wastewater is treated.
4. **Treatment of wastes:** UNICEF will ensure that programmes and projects avoid the generation of hazardous and non-hazardous waste materials. Where waste generation cannot be avoided, programmes and projects will reduce the generation of waste, and recover and reuse waste in a manner that is safe for human health and the environment. Where waste cannot be recovered or reused, it will be treated, destroyed, or disposed of in an environmentally sound manner that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material. Waste management plans will be developed where waste generation and handling may be significant.

If the generated waste is considered hazardous, reasonable alternatives for its environmentally sound disposal will be adopted while adhering to the limitations applicable to its transboundary movement. When hazardous waste disposal is conducted by third parties, UNICEF will ensure the use of contractors that are reputable and legitimate enterprises licensed by the relevant government regulatory agencies and that chain of custody documentation to the final destination is obtained. UNICEF programmes and projects will ascertain if licensed disposal sites are being operated to acceptable standards; if this is not the case, the Project will minimize waste sent to such sites and consider alternative disposal options.
5. **Hazardous materials:** Avoid, and if not possible, minimize and control the use, release and community exposure to hazardous materials. Utilize less hazardous substitutes wherever possible, and where use of

³⁹ Including those covered under the Convention on Long-range Transboundary Air Pollution, available at http://www.unece.org/env/lrtap/lrtap_h1.html

⁴⁰ For good international practice, see the performance measures in the [World Bank Group Environmental Health and Safety Guidelines](#). These standards contain performance levels and measures that will normally be acceptable and applicable to Projects. When national regulations differ from these levels and measures, the Implementing Partner will achieve whichever are more stringent. If less stringent levels or measures are appropriate in view of specific Project circumstances, the Implementing Partner will provide full and detailed justification for any proposed alternatives, provided that such alternatives are consistent with the requirements of UNICEF's SES.

Also see the UNECE [Convention on Long-range Transboundary Air Pollution](#) and the [Convention on the Transboundary Effects of Industrial Accidents](#).

⁴¹ Assimilative capacity of the environment refers to the capacity of the environment for absorbing an incremental load of pollutants while remaining below a threshold of unacceptable risk to human health and the environment.

hazardous materials cannot be avoided, develop hazardous materials management and safety measures/plans per good international practice,⁴² and ensure that emergency response plans are in place.⁴³ As part of the environmental and social risk assessment, consider potential impacts on human rights of potentially affected groups as well as differentiated effects and risks on men, women, children and older persons to potential exposure to hazardous materials. Consider the special vulnerabilities faced by workers as well as low-income communities, indigenous peoples and minorities. Do not support the manufacture, trade, or use of chemicals or hazardous substances subject to international bans, restrictions or phase-outs unless for acceptable purposes as defined by the conventions or protocols (e.g. [Montreal Protocol](#), [Minamata Convention](#), [Basel Convention](#), [Rotterdam Convention](#), [Stockholm Convention](#)).

6. **Use of Water:** When a UNICEF programme or project includes a significant consumption of water, UNICEF will ensure that it does not have significantly adverse impacts. The programme/project should consider alternative water supplies or water consumption offsets to reduce the total demand for water resources within the available supply.

For Projects with high water demand (generally greater than 5,000 m³/day in non-arid climates), in addition to applying the resource efficiency requirements of this Standard, measures are adopted that avoid or reduce water usage so that the Project's water consumption does not have significant adverse impacts on communities, other users or on the environment and ecosystems (see Standard 1 on conserving ecosystems). Cumulative impacts of water use are

assessed and appropriate mitigation measures implemented, such as water demand management, efficiency measures, benchmarking usage, alternative supplies, resource contamination avoidance, mitigation of impacts on downstream users, and water use offsets. Good international practice for water conservation and efficiency is applied, including for irrigation activities and wastewater usage.

7. **Pesticide use and management.** UNICEF will seek to avoid use of pesticides in supported activities and utilize Integrated Pest Management (IPM) and Integrated Vector Management (IVM) approaches. If after having considered such approaches recourse to pesticide use is deemed necessary, adopt safe, effective and environmentally sound pest management in accordance with the WHO/FAO International Code of Conduct on Pesticide Management⁴⁴ for the safe labelling, packaging, handling, storage, application and disposal of pesticides. Hazards of pesticide use are to be carefully considered and the least toxic pesticides selected that are known to be effective, have minimal effects on non-target species and the environment, and minimize risks associated with development of resistance in pests and vectors. A Pest Management Plan is developed where use of a significant volume of pesticides is foreseen that demonstrates how IPM will be promoted to reduce reliance on pesticides and describes measures to minimize risks of pesticide use.

UNICEF projects will not supply or use pesticides that contain active ingredients that are banned or restricted under applicable international treaties and agreements, or meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies.⁴⁵ Users of any

⁴² These include the principles of inherently safer design, life-cycle approach, and global approach. See [Guidelines for good practices in relation to the human rights obligations related to the environmentally sound management and disposal of hazardous substances and wastes](#) (2017), paras. 45-55. See also the [Strategic Approach to international Chemicals Management](#) (SAICM) which sets out a policy framework for the sound management of chemicals.

⁴³ See the Community Health, Safety and Security Thematic Area for more specifics on developing emergency response plans.

⁴⁴ FAO/WHO, [The International Code of Conduct on Pesticide Management](#) (2014).

⁴⁵ Including those that meet the criteria for Highly Hazardous Pesticides identified by WHO and FAO: (1) pesticide formulations that meet the criteria of classes Ia or Ib of the [WHO Recommended Classification of Pesticides by Hazard](#); (2) pesticide active ingredients and their formulations that meet the criteria of carcinogenicity, mutagenicity, and

pesticides shall be trained to handle pesticides in a proper and responsible manner and utilize appropriate application equipment and adequate personal protective equipment.

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reproductive toxicity Categories 1A and 1B of the Globally Harmonized System on Classification and Labelling of Chemicals (GHS); (3) pesticide active ingredients listed by the [Stockholm Convention](#) in its Annexes A and B, and those meeting all the criteria in paragraph 1 of annex D of the Convention; (4) pesticide active ingredients and formulations listed by the [Rotterdam Convention](#) in its Annex III; (5) pesticides listed under the [Montreal Protocol](#); and (6) pesticide active ingredients and formulations that have shown a high incidence of severe or irreversible adverse effects on human health or the environment.

4.5 SES 3: Community Health, Safety, and Security

A: Introduction

The Community Health and Safety Standard recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. Potential negative impacts affecting health and safety may arise from a broad range of supported activities, including from infrastructure development and construction activities, changes in the nature and volume of traffic and transportation, water and sanitation issues, use and management of hazardous materials and chemicals, impacts on natural resources and ecosystems, the influx of project labour, and potential abuses by security personnel. This Standard addresses the need to avoid or minimize the risks and impacts to community health, safety and security that may arise from project-related activities, with particular attention given to disadvantaged and marginalized groups. Measures to ensure occupational health and safety issues are addressed in Standard 7: Labour and Working Conditions

B: Objectives

- To anticipate and avoid adverse impacts on health and safety of affected communities during the programming life cycle, from both routine and non-routine circumstances;
- To ensure quality and safety in the design and construction of programming-related infrastructure, preventing and minimizing potential safety risks and accidents;
- To avoid or minimize community exposure to disaster risks, diseases and hazardous materials associated with programming activities;
- To ensure the safeguarding of personnel and property minimizes risks to communities and is carried out in accordance with international human rights standards and principles; and
- To have in place effective measures to address emergency events, whether human-made or natural hazards.

C: Scope of application

The applicability of SES 3 is established during the social and environmental screening (see Section 5). Requirements of this Standard apply to programmes and projects that may pose significant risks to human health and safety and that seek to strengthen employment and livelihoods. Standards to avoid or minimize impacts on human health and the environment due to pollution are included in SES 2: Pollution Prevention and Resource Efficiency.

C. Specific requirements

- 1. Community health and safety:** Community health and safety refers to protecting local communities from hazards caused and/or exacerbated by programme or project activities (including flooding, landslides, contamination or other natural or human-made hazards), disease, and the accidental collapse or failure of structural elements such as dams. Programme/project-related activities may directly, indirectly or cumulatively change community exposure to hazards. A significant concern with major development projects is the spread of communicable diseases from the workforce to the surrounding communities.
- 2. Assessments and Management Plans:** UNICEF will ensure that programmes and projects evaluate the risks to, and potential impacts on, the safety of affected communities during the design, construction, operation, and decommissioning of projects and establish preventive measures and plans to address them in a manner commensurate with the identified risks and impacts. These measures will favour the prevention or avoidance of risks and impacts over their minimization and reduction. Appropriate health

and safety assessments are undertaken⁵⁶ and management plans and systems adopted based on good international practice, tailored to the specific sector or activities in question, and designed and carried out with appropriate health and safety expertise. The assessment and adopted management measures take into account differences in risk exposure and sensitivity of women and men, as well as marginalized and disadvantaged groups, including children, older persons, persons with disabilities, minorities and indigenous people.

Consideration will be given to potential exposure to both accidental and natural hazards, especially where the structural elements of projects are accessible to members of the affected community or where their failure could result in injury to the community. UNICEF will ensure that projects avoid or minimize the exacerbation of impacts caused by natural or man-made hazards, such as landslides or floods that could result from land use changes due to project activities. UNICEF will ensure that programmes and projects are both gender-sensitive and sensitive to the needs of people with disabilities. In their preparation, staff will also consider whether programmes and projects constitute a health and safety risk for women, children and people with disabilities.

3. **Community exposure to health issues:** Avoid or minimize potential community exposure to health risks (e.g. pollution, contaminated areas/resources) and diseases that could result from or be exacerbated by programming activities, including water-related⁴⁶ and vector-borne diseases, communicable and non-communicable diseases, injuries, nutritional disorders, mental health and well-being. Give due consideration to potential differentiated exposure and higher sensitivity of health impacts on marginalized groups and those living in voluntary isolation.⁴⁷ Avoid or minimize the transmission of communicable diseases associated with the influx of labour to programming areas. Where endemic diseases exist in the programming area (e.g. malaria), explore ways to improve environmental conditions that could minimize the incidence of such diseases. Where programming involves the provision of health services, incorporate antimicrobial stewardship.⁴⁸
4. **Emergency preparedness:** UNICEF will ensure that implementing partners, in collaboration with appropriate and relevant authorities and third parties, will be prepared to respond to accidental and emergency situations in a manner appropriate to prevent and mitigate any harm to people and/or the environment. Emergency events include unanticipated incidents arising from both natural and human-made hazards, typically in the form of fire, explosions, leaks or spills, caused by failure to implement operating procedures, extreme weather, or lack of early warning.

This preparation, reflected in planning documents, will include the identification of areas where accidents and emergency situations may occur, communities and individuals that may be impacted, response procedures, provision of equipment and resources, designation of responsibilities, communication, and periodic training to ensure effective response. The emergency preparedness and response activities will be periodically reviewed and revised, as necessary to reflect changing conditions. UNICEF will consider the differential impacts of emergency situations on women and men, the elderly, children, people with disabilities, and potentially marginalized groups, and strengthen the participation of women in decision-making processes on emergency preparedness and response strategies. Appropriate information about

⁴⁶ See for example the UNECE/WHO [Protocol on Water and Health](#).

⁴⁷ In order to address community exposure to health risks and to understand the social and environmental determinants of health of community members, a health impact assessment may be necessary and integrated into the overall environmental and social assessment. For further resources, see the [WHO guidance on health impact assessments](#). For additional measures regarding people living in voluntary isolation, see the thematic area on Indigenous Peoples.

⁴⁸ Antimicrobial stewardship is a coordinated program that promotes the appropriate use of antimicrobials (including antibiotics) that improves patient outcomes, reduces microbial resistance, and decreases the spread of infections caused by multidrug resistant organisms.

emergency preparedness and response activities, resources, and responsibilities will be disclosed to affected communities.

5. **Infrastructure design and safety:** Structural elements and services (e.g. transportation) are designed, constructed, operated and decommissioned in accordance with national legal requirements, good international practice, and any relevant international obligations and standards⁴⁹ by competent professionals and certified or approved by competent authorities or professionals. Structural elements of any infrastructure that may pose significant health and/or safety risks shall: (i) be designed and constructed by qualified engineers and professionals, (ii) be certified and approved by independent professionals not involved in the design process, (iii) include appropriate plans for construction supervision and quality assurance, operation and maintenance, and emergency preparedness, and (iv) require periodic safety inspections and monitoring.⁵⁸ Geological and geophysical hazards are considered, and appropriate risk assessments are undertaken where needed. If structural elements must be situated in a high-risk location (e.g. seismic activity, risk of extreme weather or slow onset events), then independent experts with relevant experience are engaged to review the relevant Project activities as early as possible prior to construction and throughout the Project cycle.
6. **Security-related issues:** Where UNICEF programmes or projects involve engagement of security personnel to protect facilities and personal property, security arrangements should be provided in a manner that does not violate human rights standards or principles⁵⁰ or jeopardize the community's safety and security. UNICEF will ensure that potential risks posed by security arrangements to those within and outside the project area are assessed, that those providing security are appropriately vetted and trained, and that security arrangements are appropriately monitored and reported.
7. **Hazardous Materials management and safety:** UNICEF ensures that actions are taken to avoid or minimize potential community exposure to hazardous materials and substances that may be utilized in or released by programming activities. Where potential exposure exists to health-and life-threatening hazards, including to workers and their families, exercise special care to avoid such exposure by modifying, substituting, and eliminating the condition or material causing potential hazard. Consider hazardous material exposure risks from natural hazard-triggered accidents. If hazardous materials are part of the existing programming-related infrastructure, exercise due care during construction, implementation and decommissioning in order to avoid exposure. Exercise appropriate due diligence to control the safety of deliveries and transportation and disposal of hazardous materials and wastes.
8. **Universal access.** Ensure the concept of universal access is applied wherever feasible in the design and construction of facilities and services open to or provided to the public.⁵¹
9. **Construction safety.** For programming-related construction activities, ensure appropriate control of site access (e.g. fencing, security), use of appropriate personal protective equipment, safely designed work

⁴⁹ See also the [Espoo Convention](#) and its [Protocol on Strategic Environmental Assessment](#).

⁵⁰ UN entities should follow the [“Human rights due diligence policy on United Nations support for non-United Nations security forces”](#) by which UN entities ensure that any support they may provide to non-UN forces is consistent with the purposes and principles of the UN Charter and with their responsibilities to respect, promote and encourage respect for international humanitarian, human rights and refugee law. International human rights standards and principles include the UN Basic Principles on the Use of Force and Firearms by Law Enforcement officials, the UN Code of Conduct for Law Enforcement Officials, the Voluntary Principles on Security and Human Rights, and the International Code of Conduct on Private Security Providers.

⁵¹ Universal access includes unimpeded access for people of all ages and abilities in different situations and under various circumstances. Article 9 of the Convention on the Rights of Persons with Disabilities calls for “appropriate measures to ensure to persons with disabilities access, on an equal basis with others, to the physical environment, to transportation, to information and communications, including information and communications technologies and systems, and to other facilities and services open or provided to the public, both in urban and in rural areas.”

platforms, appropriate engineering and administrative controls (e.g. detours, traffic calming, signs), and safety barriers. Where public access is intended, consider incremental risks of public's potential exposure to operational accidents or natural hazards. Where relevant, identify, evaluate, and monitor potential traffic and road safety risks associated with programming.

10. **Risks associated with influx of project/programme workers.** Ensure appropriate measures are taken to avoid, mitigate and manage the risks and potential adverse impacts on health and safety arising from the influx of workers into programming areas. Such risks and impacts may be associated with changes in population composition, health implications and exposure to communicable diseases, threats of sexual violence and harassment, crime, and increased vulnerability of communities due to increased pressure on already scarce natural resources. Implement measures that seek to protect community members from such risks, including training, awareness-raising programmes and codes of conduct for project/programme workers. Identify alternative means to remedy significant stress on natural resources caused by increased population numbers.
11. **Impacts on ecosystem services.** Adverse impacts on ecosystem services may result in adverse health and safety risks to communities (e.g. loss of natural buffers increasing flooding risks). Avoid or minimize such adverse impacts and implement appropriate mitigation measures that aim to maintain the value and functionality of ecosystem services of relevance to local communities, paying special attention to avoid causing or exacerbating potential adverse impacts on marginalized and disadvantaged groups. Where appropriate and feasible, identify potential risks and impacts on ecosystem services that may be exacerbated by climate change.

4.6 SES 4: Land Acquisition/Displacement and Involuntary Resettlement

A: Introduction

Activities that involve physical and economic displacement, including through land acquisition or restrictions on land use or access to resources, pose impoverishment risks. Potential impacts may include loss of livelihoods, homelessness, food insecurity, and other adverse impacts. These impacts may lead to social unrest and political instability.

UNICEF will seek to avoid physical and economic displacement in its programmes and projects. In exceptional circumstances and where avoidance is not possible, displacement may occur only with full justification, appropriate forms of legal protection and compensation, and according to the following requirements.

B: Objectives

- To recognize and respect the prohibition on forced evictions
- To anticipate and avoid, or when avoidance is not possible, minimize adverse social and economic impacts from restrictions on land or resource use or from land and resource acquisition.
- To enhance and restore the livelihoods and living standards of all displaced persons and to improve the living conditions and overall socioeconomic status of displaced poor and persons belonging to marginalized or disadvantaged groups;
- To conceive and execute resettlement activities as sustainable development programs, providing sufficient resources to enable displaced persons to benefit directly from programming activities;
- To ensure that resettlement activities are planned and implemented collaboratively with the meaningful and informed participation of those affected.

C: Scope of application

The applicability of SES 4 is established during the social and environmental screening (see Section 5).

It applies to all UNICEF activities that may involve physical displacement (i.e., relocation or loss of shelter), whether full or partial and permanent or temporary, or economic and occupational displacement (i.e., loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources (including through project externalities such as pollution and impacts to biodiversity or ecosystem services) that people depend on for physical, economic, social, cultural, or spiritual well-being, including the following types of land acquisition or restrictions on land or resource use:

- Land rights or land use rights acquired or restricted through expropriation according to applicable law or through negotiated settlement if the failure of negotiations would result in expropriation;
- Restrictions on land use or access to natural resources of those with traditional or customary tenure or recognizable usage rights;
- Displacement of people without formal, traditional recognizable usage rights who occupy or use land prior to the established cutoff date;
- Displacement due to programming-related externalities such as pollution and impacts on biodiversity or ecosystem services or the rendering of lands unusable or inaccessible; and
- Displacement occurring for associated facilities and/or activities significantly related to the programming activities, or which occurred in anticipation of thereof.

The standard does not apply to (a) voluntary, legally recorded market transactions in which the seller is fully informed about available choices and has the genuine right to retain the land and refuses to sell it.⁵² However, if the sale may displace people, other than the seller, who occupy, use, or claim rights to the land in question, these requirements shall apply; and (b) restrictions of access to natural resources under community-based natural resource management arrangements where the relevant community decides to restrict access to these resources based on an appropriate community-decision making process that reflects voluntary, informed consensus.

This Standard also applies to displacement activities occurring for associated facilities (i.e., components that are not funded as part of the programme or project but whose viability and existence depend on the programme or project), displacement activities significantly related to the programme or project, and displacement activities that have occurred in anticipation of a UNICEF programme or project.⁵³

The Standard includes the requirement to provide compensation at full replacement cost; reiterates the importance of a resettlement that improves standards of living, income-earning capacity and overall means of livelihood; and emphasizes the need to ensure that social considerations, such as gender, age, disability and stakes in the project outcome, do not disenfranchise particular project-affected people.

For activities that may cause displacement of indigenous peoples, the benchmark standards of the Indigenous Peoples (SES 6) shall also apply. This standard shall be interpreted in a manner to be consistent with SES 6.

D: Specific requirements

- 1. Prohibit forced evictions, allowing evictions in exceptional circumstances only:** Prohibit forced evictions in all supported activities. Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.⁵⁴ Any evictions that may be associated with programming activities shall be carried out lawfully, only in exceptional circumstances for the purpose of promoting the general welfare with full justification, are reasonable and proportional, follow due process standards, ensure full and fair compensation and rehabilitation, and are carried out in full accordance with relevant provisions of international human rights and humanitarian law.
- 2. Avoid, minimize and mitigate physical and economic displacement:** As part of the social and environmental assessment UNICEF will consider all feasible programming alternatives and measures to avoid displacement. Where a comprehensive options assessment, including the “no action” scenario, indicates that displacement is unavoidable, minimize its potential scale and demonstrate that any programming-related land acquisition and/or restrictions on land use are limited to direct programming requirements.
- 3. Planning and assessment:** Where displacement cannot be avoided, utilize experienced professionals in establishing baseline information, designing displacement activities and assessing potential risks and

⁵² Due diligence is required to ensure that the seller truly has the right to retain the land and is not compelled to sell it and that the accepted price is in line with the existing replacement cost. This may involve reviewing relevant agreements and meeting relevant parties.

⁵³ As part of UNICEF’s commitment to ensure that potential cumulative impacts of multiple projects in a given area or landscape are identified and addressed, UNICEF may require that impacts of displacement activities being planned or carried out contemporaneously with the Project are also addressed.

⁵⁴ See UN Committee on Economic, Social and Cultural Rights, [General Comment No. 7: The right to adequate housing \(Art. 11\(1\): Forced evictions \(1997\)\)](#). Forced evictions are also prohibited by the [UN Basic Principles and Guidelines on Development-based Evictions and Displacement](#) (2007). See also UN Habitat/OHCHR, [Forced Evictions, Fact Sheet No. 25/Rev.1](#) (2014).

impacts. Identify potentially affected persons, lands, and assets through census, socio-economic surveys and evaluations, and asset inventories, including claims of affected groups not present as part of census (e.g. seasonal resource users). Clarify the tenure rights and relationships of potentially affected persons to affected lands and resources, including recognition of customary rights and collective or communal forms of land tenure.⁵⁵

Undertake an Environmental and Social Impact Assessment (ESIA) or equivalent to assess potential environmental and social impacts of the proposed land acquisition and/or restrictions on land and/or resource use and potential impacts on host communities where potential displacement may be significant. Pay particular attention to the needs of affected persons who are marginalized and disadvantaged. Risks posed by natural and human-made hazards should be considered and minimized in the selection of any potential resettlement sites. Where potential displacement may be minimal, an ESIA may not be required and negotiated settlements may be reached that provide fair and just compensation for lost assets in accordance with the requirements herein.

4. **Participation in planning and implementation.** Ensure meaningful participation and collaboration of affected communities, including host communities, throughout the programming cycle, including during consideration of the rationale for proposed activities, alternative programming designs, determination of eligibility and compensation, planning, development of action plans, implementation, monitoring and evaluation. Ensure preferences of affected persons are integrated into programming and that affected persons are informed of their rights and have access to effective remedies, expertise, and legal advice.⁵⁶ Ensure women's perspectives are obtained and their interests are factored into all aspects of planning and implementation. Engage affected marginalized and disadvantaged groups and individuals, including elderly persons and persons with disabilities, and ensure they are provided equal access to programming benefits and resources.

Undertake good-faith efforts to secure negotiated settlements with affected individuals and communities, based on transparent, consistent and equitable compensation standards and procedures to ensure that those people who enter into negotiated settlements maintain the same or better income and livelihood status.

All relevant programming information, including draft action plans, shall be disclosed in a timely manner in an accessible place and in a form and language(s) understandable to the affected persons. Compensation standards shall be disclosed and applied consistently, and eligibility cut-off dates shall be well publicized. Provide affected persons with written justification in an accessible form and language well in advance of initiation of land acquisition and restrictions on land use.

5. **Develop plans to improve livelihoods.** Where displacement cannot be avoided, develop action plans⁵⁷ designed to enhance and restore the standards of living and livelihoods of all displaced persons and communities and to improve the living conditions of physically displaced persons and displaced poor persons and marginalized or disadvantaged individuals and groups in real terms compared to pre-displacement levels.

⁵⁵ Including where relevant to community forests, fishing area, fallow lands.

⁵⁶ Affected persons should be provided, in understandable form, an explanation of relevant laws, regulations and the UN entity's standards as well as be provided access to legal representation financed by programming activities.

⁵⁷ Such as a Resettlement Action Plan and/or for economic displacement a Livelihood Action Plan. Displacement activities may also at times be conceptualized as a community development plan. Where the specific locations and magnitude of potential land acquisition and restrictions of land use are not fully known during preparation of programming activities, framework action plans may be developed that would require further specific action plans once programming components are defined and assessed. In all cases, actions plans are to address the benchmark standards of this thematic area.

Action plans to address displacement impacts will be proportionate to the risks and impacts associated with programming activities. The degree of potential impacts is largely determined by the scope of physical and economic displacement and the vulnerability of affected persons.

Where impacts on the entire displaced population are minor, an abbreviated action plan may be developed that establishes eligibility criteria for affected persons; compensation procedures and standards at full replacement costs designed at a minimum to restore affected persons assets and livelihoods; and arrangement for participation and collaboration of affected persons. Impacts are considered “minor” if affected persons are not physically displaced, are relatively few in number, and if activities involve minor land acquisition (affecting less than 10 percent of productive assets) and do not have significant livelihood impacts.

Action plans for activities involving physical displacement or economic displacement with significant social and economic impacts on affected persons are to be conceived and executed as sustainable development programs that provide sufficient resources and opportunities to enable displaced persons to benefit directly from programming activities and that seek to improve affected persons livelihoods and living standards. Such plans will at a minimum address the following relevant elements, taking into account the full social and economic costs to displaced persons:

- Establish eligibility criteria, cutoff dates, and entitlements for all categories of affected persons;
- Provide (a) fair and just compensation at full replacement cost (based where relevant on the cost of replacement at resettled sites and locations) prior to displacement, for any losses of personal, real or other property or goods, noting that compensation and support may be collective in nature; (b) transitional support (both financial and in-kind) based on reasonable estimates of the time required to restore and improve income-earning capacity, production levels, and standards of living; and (c) development assistance such as land development, credit facilities, direct benefits, training or employment opportunities, and provision of expertise, as appropriate. The combination of compensation, transitional support and development assistance will aim to improve pre-displacement productive capacity and earning potential of displaced persons;
- Provide to displaced individuals and communities secure access to necessary services, shelter, food, water, energy, and sanitation, as applicable;
- Consider gender aspects, recognizing women and men as co-beneficiaries and providing single women with their own compensation; and
- Ensure impoverished individuals and marginalized or disadvantaged persons and groups are provided equal access to programming benefits and resources.

6. **Physical displacement.** Where programming activities involve physical displacement, the action plan shall address the following additional elements:

- Specify the resettlement options chosen by displaced persons, respecting preferences to relocate in pre-existing communities wherever possible, and document all transactions;
- Provide a choice of replacement property with secure tenure⁵⁸ of higher value and better characteristics wherever possible⁵⁹ for affected persons or communities with formal land rights or

⁵⁸ Security of tenure means that resettled individuals or communities are resettled to a site that they can legally occupy, where they are protected from the risk of eviction and where the tenure rights provided to them are socially and culturally appropriate. Activities that involve physical displacement should adhere to the [Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests \(VGGT\)](#).

⁵⁹ Replacement property must at a minimum be of equal value of lost assets, with additional investment provided by supported activities to improve its value and characteristics.

recognizable claims.⁶⁰ Land-based resettlement strategies will be utilized when affected livelihoods are land-based or where land is collectively owned.⁶¹

- Ensure resettlement sites provide adequate housing with improved living conditions, necessary civic infrastructure and services. For housing to be adequate, it must, at a minimum, meet the following criteria: providing security of tenure; availability of services, materials, facilities and infrastructure; affordability; habitability; accessibility; location; and cultural adequacy;⁶²
 - For affected persons without formal land rights or recognizable claims, compensate for loss of assets other than land (e.g. dwellings, other improvements) at full replacement costs, provide resettlement assistance in lieu of compensation for land sufficient to restore and improve living standards at an adequate alternative site, and provide arrangements to allow them to obtain adequate housing with security of tenure so they can resettle without facing the risk of forced eviction;
 - Stipulate that compensation is not required for encroachers after the established cut-off date, provided that the date has been well publicized.
7. **Economic displacement.** Where programming activities involve economic displacement with significant social and economic impacts, the action plan shall address the following additional elements:
- Ensure compensation covers all commercial losses (including costs of transfer and re-establishing commercial activity, lost net income during transition, lost employee wages) and for other assets such as crops, irrigation infrastructure or other improvements to affected areas;
 - Provide replacement property of improved value where legitimate tenure rights (both formal and informal) are restricted. Provide replacement agricultural sites of superior productive potential wherever possible, including through investments in increasing productivity. If it is clearly demonstrated that replacement land and resources are unavailable, offer cash compensation at full replacement cost and options and support for alternative income earning with evidence of mutual agreement;
 - Compensate economically displaced persons who are without legally recognizable claims to land for lost assets other than land (e.g. crops, irrigation infrastructure, other improvements made to the land), at full replacement cost;
 - Where displaced livelihoods are natural resource based, offer replacement land and access to alternative resources with a combination of productive potential, locational advantage, and other factors with improved livelihood-earning potential and accessibility, wherever feasible. Provide alternative income earning opportunities and support if it is demonstrably not possible to provide replacement land and resources;
 - If the programming activities restrict access to resources in legally designated parks or protected areas or other common property resources, establish a collaborative process with affected persons and communities to negotiate and determine appropriate restrictions and mitigation measures to improve affected livelihoods while maintaining the sustainability of the park or protected area.
8. **Prior displacement.** Where displacement has occurred in anticipation of supported activities and involvement of a UNICEF project, the requirements of this standard apply. An audit will be conducted to

⁶⁰ It may be appropriate to negotiate in situ land development arrangements whereby displaced persons or communities accept partial loss of land for improvements that increase property value.

⁶¹ Cash compensation for replacement property and assets is discouraged. Payment of cash compensation for lost land and other assets may be appropriate where livelihoods are not land-based or livelihoods are land-based but the land taken is a small fraction of the affected asset and the residual land is economically viable.

⁶² See OHCHR/UN Habitat, [The Right to Adequate Housing. Fact Sheet 21/Rev. 1.](#)

identify any gaps of past activities against the standards herein and the corrective actions that may be required to address the standards. Where an unoccupied site is provided from which prior residents were displaced but not in anticipation of the supported activities, undertake appropriate due diligence and determine if corrective actions are feasible and could be integrated into the programming.

9. **Redress and grievance mechanism.** Ensure potentially displaced persons have access to legal advice prior to displacement and access to judicial or administrative remedies as may be available. Ensure an effective grievance mechanism is available to address specific concerns of affected persons regarding all phases of the resettlement process, including planning, consultations, compensation, relocation, livelihood restoration or other programming-related issues. Grievance mechanisms are to meet the effectiveness criteria for such mechanisms in the Stakeholder Engagement and Accountability thematic area.
10. **Monitoring and completion analysis.** Provide for independent monitoring by qualified experts of implementation of any action plans. Consult with directly-affected persons on implementation of plans and consider collaborative monitoring with affected persons and communities. Prepare periodic monitoring reports and inform affected persons about monitoring results. Develop a long-term monitoring plan to assess impacts on standards of living of displaced persons. Ensure adequate budget is provided for monitoring activities. Programming activities involving displacement shall not be considered complete until adverse impacts are addressed and plans are implemented. Utilizing experienced independent experts, undertake a completion analysis whether the objectives of the action plans were achieved, taking into account baseline conditions, and where necessary, propose corrective actions.

4.7 SES 5: Biodiversity Conservation and Sustainable Natural Resource Management

A: Introduction

1. Biological diversity – or biodiversity – is the term given to the variety of life on Earth, including plants, animals and micro-organisms, as well as the ecosystems of which they are part. Biodiversity includes genetic differences within species, the diversity of species and the variety of ecosystems. It is the result of the interaction of species, including humans, with one another and with the air, water and soil around them. This combination of life forms – ecosystems, species and genetic varieties – has made Earth a uniquely habitable place and provides the goods and services that sustain our lives, such as clean air and water, food and medicine, fuel, fibre, and material for construction. Our cultures are founded upon the different environments in which they have developed. Biodiversity and healthy ecosystems also strengthen our resilience to address environmental and social changes and shocks, including climate change impacts and disaster risks.
2. Biodiversity, however, is currently being lost at unprecedented rates due to human activities that destroy, degrade or encroach on habitats, increase pollution, and contribute to climate change. The Convention on Biological Diversity (CBD)⁶³ and other international conventions and agreements⁶⁴ seek to address this problem by preserving the rich diversity of life forms at the genetic, species, and ecosystem levels. The benchmark standards below reflect and support the objectives of the CBD and elaborate a range of actions to avoid and minimize adverse impacts to terrestrial, freshwater and marine biodiversity and ecosystems in country programming.

B: Objectives

- To conserve biodiversity;
- To maintain and enhance the benefits of ecosystem services⁶⁵;
- To promote sustainable management and use of living natural resources;
- To ensure the fair and equitable sharing of the benefits from the utilization of genetic resources; and
- To respect, preserve, maintain and encourage knowledge, innovations and practices of indigenous peoples and local communities relevant for the conservation and sustainable use of biodiversity and their customary use of biological resources.

C: Scope of application

The applicability of SES 5 is established during the social and environmental screening (see Section 5).

The Standard applies to programmes or projects that:

- Are located in natural and/or critical habitats.

⁶³ See the [Convention on Biological Diversity](#).

⁶⁴ Including the [Convention on Conservation of Migratory Species](#), [Convention on International Trade in Endangered Species of Wild Fauna and Flora \(CITES\)](#), [International Treaty on Plant Genetic Resources for Food and Agriculture](#), [Convention on Wetlands \(Ramsar Convention\)](#), [World Heritage Convention](#), [International Plant Protection Convention](#), and the [International Whaling Commission](#).

⁶⁵ Ecosystem services are the benefits that people derive from ecosystems. Examples are as follows: (i) provisioning services may include food, freshwater, timber, fibers, medicinal plants; (ii) regulating services may include surface water purification, carbon storage and sequestration, climate regulation, protection from natural hazards; (iii) cultural services may include natural areas that are sacred sites and areas of importance for recreation and aesthetic enjoyment; and (iv) supporting services may include soil formation, nutrient cycling, primary production.

- Are located in areas providing ecosystem services upon which potentially affected stakeholders are dependent for survival, sustenance, livelihood or primary income, or which are used for sustaining the programme or project.
- Extract renewable natural resources as a main purpose (e.g. plantation forestry, commercial harvesting, agriculture, livestock, fisheries and aquaculture).
- Involve the use and commercialization of an indigenous knowledge system.

D: Specific requirements

1. **Risk identification.** Identify potential direct and indirect impacts on biodiversity, ecosystems and ecosystem services from supported activities as early as possible.⁶⁶ Consider risks related to habitat and species loss, degradation and fragmentation, overexploitation, invasive alien species, hydrological changes, nutrient loading, pollution, incidental take, potential climate change impacts, and differing values attached to potentially affected biodiversity and ecosystem services by potentially affected communities and other stakeholders.⁶⁷ Consider potential impacts across landscapes and seascapes to ensure that any adopted mitigation strategy aligns with regional conservation goals. Where adverse impacts to biodiversity and ecosystems are identified, ensure that suitably qualified expertise is used in assessing potential impacts, developing appropriate mitigation and monitoring measures, and verifying implementation.⁶⁸ Involve and consult with relevant stakeholders, and in particular local communities affected by the supported activities, in the identification and assessment of potential impacts on biodiversity and relevant ecosystem services.
2. **Ecosystem approach, mitigation hierarchy and precautionary approach.** Where relevant, pursue an ecosystem approach for the integrated and adaptive management of terrestrial, freshwater, marine and living resources that promotes conservation and sustainable use in an equitable way.⁶⁹ Apply the mitigation hierarchy to anticipate and, as a matter of priority, avoid adverse impacts on biodiversity and ecosystems. Where avoidance is not possible, minimize and then mitigate potential adverse impacts to acceptable levels, and lastly, consider compensation for or offsetting remaining residual impacts (on biodiversity offsets, see below). Avoidance of significant adverse impacts may at times require redesign of or not proceeding with certain activities. In addition, use a precautionary approach when addressing potential adverse impacts on biodiversity, ecosystems and communities: where serious threats exist, the lack of full scientific certainty shall not be used to postpone adoption of effective preventive measures.
3. **Siting preference.** Prioritize siting activities with potential adverse impacts far from critical habitats⁷⁰, protected areas or areas of ecological significance, giving preference to locating activities on lands

⁶⁶ Effective biodiversity assessments may require significant lead times given seasonal changes and migratory issues.

⁶⁷ Biodiversity and ecosystems will be viewed differently depending on the stakeholders and will vary from region to region. Particular biodiversity attributes and ecosystem services will generally be valued differently (e.g. ecologically, economically, culturally) by relevant local, national and international stakeholders.

⁶⁸ See CBD [Voluntary Guidelines on Biodiversity-inclusive Impact Assessment \(CBD Decision VIII/28\)](#)

⁶⁹ “Ecosystem” means a dynamic complex of plant, animal and microorganism communities and their nonliving environment interacting as a functional unit (CBD, Article 2). See [Convention on Biological Diversity, Ecosystem Approach](#). Also see Shepherd, Gill, [The Ecosystem Approach: Five Steps to Implementation](#), IUCN (2004).

⁷⁰ Critical habitats are areas with high biodiversity value, including any of the following features: (i) habitat of significant importance to threatened or endangered species (e.g. Critically Endangered, Endangered or Vulnerable species identified in the [IUCN Red List of Threatened Species](#)); (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems (for example see partial listing at [IUCN Red List of Threatened Ecosystems](#)); and/or (v) areas associated with key evolutionary processes. Critical habitats include those areas that are (i) legally protected, (ii) officially proposed for protection, (ii) identified by authoritative sources for their high conservation value (such as areas that meet criteria of the World Conservation Union classification, the [Ramsar List of Wetlands of International Importance](#), and [UNESCO world heritage sites](#)), or (iv) recognized as protected by traditional local communities.

where natural habitats have already been converted/degraded (e.g. modified habitats⁷¹) with limited restoration potential or in areas of low value for biodiversity and ecosystem services. Avoid wherever possible siting activities on lands converted in anticipation of the programming activities.

4. **Habitats.** Avoid activities that would lead to adverse impacts on critical habitats (i.e. no measurable adverse impacts on the biodiversity values and ecological processes of such areas), including activities that may convert or degrade such areas.⁷² For areas of natural habitat,⁷³ seek to avoid any significant conversion or degradation and proceed with activities that could cause adverse impacts to such areas only if no viable alternatives exist and appropriate conservation and mitigation measures or plans⁷⁴ are in place, including those required to maintain any potentially affected ecosystem services. Appropriate mitigation and management measures shall aim to achieve net gains of biodiversity for critical habitats and, wherever possible, for natural habitats, ensuring at a minimum no net loss of biodiversity for such areas. However, it must be recognized that no net loss is not possible in all cases, e.g. where endemic species have highly restricted distributions. In such instances, explore alternative designs to avoid adverse impacts to biodiversity. Minimize unwarranted conversion or degradation of modified habitats.
5. **Water resources.** Seek to avoid adverse impacts on water resources and water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes, and promote sustainable use of water resources through integrated water resources management approaches. Ensure that supported activities do not adversely affect access to and and/or quality of water supplies.⁷⁵
6. **Soil Management.** Avoid, and where avoidance is not possible, minimize adverse impacts on soils, their biodiversity, organic content, productivity, structure, water-retention capacity.
7. **Protected areas.** Avoid activities that would cause significant adverse impacts to legally protected areas, areas designated for legal protection, and areas recognized for their high biodiversity value, including nationally and internationally designated protected areas, indigenous protected areas (IPAs) or indigenous and community conserved areas (ICCAs).⁷⁶ Activities in these areas need to be consistent with the area's legal protection and management objectives and plans, where existent. Protected area stakeholders (e.g. sponsors, managers, potentially affected communities, indigenous peoples, other interested parties) are to be consulted and involved in the design, implementation, and monitoring and evaluation of activities that may affect such areas.
8. **Endangered and protected species.** Ensure that activities do not lead to a reduction in the populations of any recognized Vulnerable, Endangered, or Critically Endangered species, or restricted range species,

⁷¹ Modified habitats are areas that may contain a large proportion of plant and/or animal species of non-native origin, and/or areas where human activity has substantially modified an area's primary ecological functions and species composition. Modified habitats may include areas managed for agriculture, forest plantations, reclaimed coastal zones, reclaimed wetlands, and regenerated forests and grasslands.

⁷² Some conservation activities that seek to protect and/or strengthen critical habitats may have associated minor adverse impacts; such actions need to be designed to achieve net gains for the biodiversity values of such areas.

⁷³ Natural habitats are land and water areas where the biological communities are formed largely by native plant and animal species, and where human activity has not essentially modified the area's primary ecological functions and species composition.

⁷⁴ For example, a Biodiversity Action Plan that describes the conservation outcomes, implementation measures and monitoring and evaluation.

⁷⁵ Regarding potential impacts on transboundary waters, see for example the UNECE [Convention on the Protection and Use of Transboundary Watercourses and International Lakes](#).

⁷⁶ For resources and guidelines on types of protected areas, see the [IUCN Best Practice Protected Areas Series](#). Where supported activities may affect natural World Heritage sites, see [IUCN World Heritage Advice Note on Environmental Assessment](#).

as identified in the IUCN Red List of Threatened Species⁷⁷ or equivalent national/regional listings. All programming should also ensure that it does not increase the risk of illegal trade in protected species.⁷⁸

9. **Management of ecosystem services.** Avoid adverse impacts on ecosystem services of relevance to affected communities. If avoidance of adverse impacts is not possible, mitigation and management measures will aim to maintain the value and functionality of affected ecosystem services. Involve and consult with affected communities on activities that may affect their ecosystem services.
10. **Biodiversity offsets.** Biodiversity offsets shall be considered only as a last resort if significant residual adverse impacts to biodiversity remain after avoidance, minimization, and restoration measures have been applied. Such offsets are to be designed to achieve measurable, additional, and long-term conservation outcomes that achieve no net loss of biodiversity and preferably a net gain (which would be required if critical habitats are affected). It must be recognized that certain impacts cannot be offset if the affected area is unique and irreplaceable.⁷⁹ Qualified experts and key stakeholders are to be involved in the design of offsets, which are to adhere to the “like-for-like or better” principle.
11. **Alien and invasive alien species.** Implement measures to avoid introduction or utilization of invasive alien species, whether accidental or intentional, and support activities to mitigate and control their further spread. Avoid the intentional introduction of new alien species unless carried out according to existing regulatory frameworks and the introduction is subject to a risk assessment.⁸⁰
12. **Biosafety and genetic resources.** Adhere to the CBD and its Cartagena Protocol on Biosafety⁸¹ in the handling, transport, and use of living modified organisms that result from modern biotechnology which may have adverse impacts on biodiversity and human health.
13. **Customary sustainable use of biological diversity.** Where relevant, protect and encourage customary use of biological resources in accordance with traditional knowledge, innovations and cultural practices that are compatible with conservation or sustainable use requirements, ensuring full and effective participation of relevant indigenous peoples and local communities where such traditional knowledge and practices are affected, supported or utilized in country programming.
14. **Use of genetic resources.** For projects/programmes that involve the utilization of genetic resources, ensure that the collection of such resources is conducted sustainably and that benefits derived from their utilization are shared in a fair and equitable manner, consistent with applicable access and benefit sharing (ABS) measures in accordance with the CBD (Article 15) and its Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization.⁸²
15. **Sustainable management of living natural resources.** Ensure sustainable management of living natural resources (e.g. forests, agriculture, fisheries, livestock) in accordance with Article 10 of the CBD. Apply

⁷⁷ See the [IUCN Red List of Threatened Species](#).

⁷⁸ In accordance with the [Convention on International Trade in Endangered Species in Wild Fauna and Flora](#) (CITES). See the [CITES Appendices](#) of species threatened by international trade.

⁷⁹ For example, biodiversity offsets should not be considered regarding potential adverse impacts in World Heritage sites.

⁸⁰ See [Guiding Principles for the Prevention, Introduction and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species](#), CBD Decision VI/23, Annex.

⁸¹ See the [CBD Cartagena Protocol on Biosafety](#).

⁸² See the [CBD Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization](#). The [WIPO Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore \(IGC\)](#) is supporting development of an international legal instrument relating to intellectual property which will ensure the effective and balanced protection of genetic resources.

appropriate industry-specific best management practices and, where codified, credible certification and verification systems. Adopt appropriate measures, where relevant, to promote animal welfare, control for potential invasiveness or escape of production species, and minimization of antimicrobial resistance. Where relevant, support small-scale landholders to harvest and produce living natural resources in a sustainable manner.⁸³

16. **Primary Suppliers.** When purchasing natural resource commodities, where possible, limit procurement to those primary suppliers that can demonstrate that they are not contributing to significant conversion or degradation of natural or critical habitats, and if necessary within a reasonable period, shift to primary suppliers that can demonstrate that they are not significantly adversely impacting these areas. Encourage application of ecolabels and Environmental Product Descriptions (EPDs)⁸⁴ where available.

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⁸³ See Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity, CBD Decision VII/12, Annex II.

⁸⁴ An Environmental Product Declaration (EPD) is an independently verified and registered document that communicates transparent and comparable information about the life-cycle environmental impact of products. The relevant standard for Environmental Product Declarations is ISO 14025, where they are referred to as "type III environmental declarations."

4.8 SES 6: Indigenous People

A: Introduction

1. Indigenous peoples have the right to the full enjoyment, as a collective or as individuals, of all human rights and fundamental freedoms. Indigenous peoples and individuals are free and equal to all other peoples and individuals and have the right to be free from any kind of discrimination. Indigenous peoples possess collective human rights which are indispensable for their existence, well-being and development as peoples. The special relationship that indigenous peoples have with their lands, territories, resources and cultural heritage is integral to their physical, spiritual and cultural survival.
2. The promotion and protection of the rights of indigenous peoples, especially concerning their lands, territories, resources, traditional livelihoods, tangible and intangible cultural heritage are central to respecting indigenous peoples' identities and improving their well-being.
3. UNICEF will work in partnership with indigenous peoples and support their right to determine and develop priorities and strategies for exercising their right to development and contribute to the realization of the provisions of the United Nations Declaration on the Rights of Indigenous Peoples,⁸⁵ the Indigenous and Tribal Peoples Convention, 1989 (No. 169),⁸⁶ and other relevant international instruments.
4. The UN has established various mechanisms to promote indigenous peoples' rights, dialogue and partnerships, including the UN Permanent Forum on Indigenous Issues (UNPFII), the Special Rapporteur on the rights of indigenous peoples, and the Expert Mechanism on the Rights of Indigenous Peoples (EMRIP). The ILO has supervisory bodies monitoring the application of Indigenous and Tribal Peoples Convention, 1989 (No. 169). In 2008, the then United Nations Development Group (UNDG, now UNSDG), adopted Guidelines on Indigenous Peoples Issues to guide the programming and operational work of all UN entities.⁸⁷ The Secretary General in 2016 launched the UN System-wide action plan for ensuring a coherent approach to achieving the ends of the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). Support and coordination mechanisms have also been established, such as the Inter-Agency Support Group on Indigenous Issues (IASG) which was established to support and promote the mandate of the UN Permanent Forum on Indigenous Issues within the United Nations system.⁸⁸ In addition, some agencies and entities have also established policies, funds and participatory mechanisms.⁸⁹

B: Objectives

- To recognize and foster full respect for indigenous peoples' human rights as recognized under Applicable Law, including but not limited to their rights to self-determination, their lands, resources and territories, traditional livelihoods and cultures
- To support countries in their promotion and protection of indigenous peoples' rights, through implementation of domestic laws, policies, and Project activities consistent with the State's human rights obligations
- To ensure that UNICEF Projects that may impact indigenous peoples are designed in a spirit of partnership with them, with their full and effective participation, with the objective of securing their

⁸⁵ See the [United Nations Declaration on the Rights of Indigenous Peoples](#).

⁸⁶ See [ILO Convention No. 169](#).

⁸⁷ See the [UNDG Guidelines on Indigenous Peoples' Issues](#).

⁸⁸ See the [UN system-wide action plan on the rights of indigenous peoples](#).

⁸⁹ For example, IFAD's Indigenous Peoples Forum and the Indigenous Peoples' Assistance Facility, the Indigenous Peoples Advisory Groups at the GEF and GCF, the CBD's Open-ended Working Group on Article 8(j) and Related Provisions of the Convention on Biological Diversity and the UNFCCC's platform on indigenous and local communities, among others.

free, prior, and informed consent (FPIC)⁹⁰ where their rights, lands, territories, resources, traditional livelihoods may be affected

- To promote greater control and management by indigenous peoples over developments affecting them, including their lands, resources and territories, ensuring alignment of Projects with indigenous peoples' distinct vision and self-identified development priorities
- To avoid adverse impacts on the rights of indigenous peoples, their lands, territories, resources, to mitigate and remedy residual impacts, and to ensure provision of just and equitable benefits and opportunities for indigenous peoples in a culturally appropriate manner

C: Scope of application

The applicability of SES 6 is established during the social and environmental screening (see Section 5). The Standard specifically applies to UNICEF programmes and projects that affect the human rights, lands, natural resources, territories, cultural heritage and/or traditional livelihoods of indigenous peoples regardless of whether (i) the Project is located within or outside of the lands and territories inhabited by the indigenous peoples in question, (ii) a title is possessed by the affected indigenous peoples over the lands and territories in question, or (iii) the indigenous peoples are recognized as indigenous peoples by the country in question.

D: Specific requirements

1. **Identification of indigenous peoples:** The international community has not adopted a single definition of indigenous peoples and the prevailing view today is that no formal universal definition is necessary for the recognition and protection of their rights. Generally speaking, according to the UN, "indigenous peoples" refers to distinct collectives who possess any of the more commonly accepted definitions of indigenous peoples,⁹¹ with self-identification as a distinct people as a fundamental criterion, regardless of the local, national and regional terms applied to them. Other key characteristics of these definitions include the following: voluntary perpetuation of cultural distinctiveness (e.g. languages, laws, customary cultural, social, economic or political institutions); collective attachment to the lands, territories and resources they have traditionally owned, occupied or otherwise used or acquired; traditional livelihoods and tangible and intangible cultural heritage associated to their lands, territories, and resources; priority in time with respect to occupation and use of specific territory; and an experience of subjugation, marginalization, dispossession, exclusion or discrimination, whether or not these conditions persist. Indigenous peoples may have a distinct language or dialect, often different from the official language or languages of the country or region in which they reside.

Indigenous peoples include those indigenous peoples who have lost access to lands, territories or resources because of forced severance, conflict, government resettlement, dispossession, natural disasters, or incorporation of lands into urban areas, but that still maintain collective attachment to those lands, territories and resources.

Indigenous peoples might not be recognized by the country in question or possess recognized title to lands, territories or resources. In some countries, indigenous peoples may be referred to by other terms, such as "ethnic groups or minorities," "aboriginals," "hill tribes," "minority nationalities," "scheduled tribes," "first nations," "tribal groups," "pastoralists," "hunter-gatherers," "nomadic groups" or "forest dwellers," or other terms. Regardless of which terminology is used, the benchmark standards herein shall apply to groups that satisfy the above characteristics.

⁹⁰ [UN REDD. Guidelines on Free Prior and Informed Consent \(2013\)](#)

⁹¹ Including but not limited to those provided for in ILO Convention No. 169; the [Study on the Problem of Discrimination against Indigenous Populations](#) (the Martinez Cobo Study); and the [Working paper on the concept of "indigenous people" of the Working Group on Indigenous Populations](#) (Commission on Human Rights) (E/CN.4/Sub.2/AC.4/1996/2).

- 5. Meaningful consultation and participation:** Indigenous peoples have the right to determine their own priorities and to participate in decision-making in matters which would affect them, through representatives chosen by themselves in accordance with their own procedures. In supported programming, ensure meaningful consultation and participation of indigenous peoples who may be affected by programming activities. The perspective of the indigenous peoples concerned whether proposed activities may affect them should be a starting point for assessing whether an activity may affect them. Engagement should begin as early as possible in programming conceptualization and continue throughout all aspects of the programming cycle, including design, risk identification and assessment, implementation, monitoring and evaluation.

Conduct engagement processes with indigenous peoples in good faith, in a culturally appropriate manner, with due regard to indigenous peoples' institutions, customs, and traditional methods of decision-making. Design and undertake engagement processes in full partnership with indigenous peoples. Engagement processes should be gender and inter-generationally inclusive, paying particular attention to groups and individuals at risk of marginalization and exclusion.

Initiate engagement processes sufficiently in advance of any authorization or commencement of activities, with timely availability of all relevant programming information, including full and understandable information on likely potential impacts, provided in a culturally appropriate manner and in relevant indigenous languages whenever possible. Engagement processes need to consider the time requirements of indigenous peoples' internal processes for decision-making, and be free from any coercion, intimidation or manipulation.

Carry out engagement processes with the objective of obtaining indigenous peoples' free, prior and informed consent (FPIC) regarding programming activities that may affect the indigenous peoples' rights, lands, territories, natural resources, traditional livelihoods, tangible and intangible cultural heritage, including any potential relocation and activities proposing the development, utilization or exploitation of mineral, forest, water or other resources. Engagement processes require at a minimum documentation of (i) a mutually accepted process to carry out good faith negotiations, (ii) outcomes of good faith negotiations, including all agreements reached as well as disagreements and dissenting views, and (iii) efforts aimed at accommodating indigenous peoples' expressed interest and concerns in the final programming design. Reaching agreement or consent helps to ensure full partnership and ownership of supported activities with indigenous peoples who may be impacted by programming activities. Where agreement or consent cannot be ascertained in such circumstances, adjustments of the relevant activities are to be made, including in all likelihood a decision by UNICEF to exclude from programming the activities for which agreement or consent still cannot be ascertained

- 6. Prior assessment and avoidance of impacts.** Carry out environmental and social analysis for programming that may affect indigenous peoples as part of design process. Verify if indigenous peoples inhabit proposed programming areas and/or if activities may affect indigenous peoples outside of such areas. The perspective of the indigenous peoples concerned is a critical starting point for impact assessment and the indigenous peoples concerned should have ample opportunities as early as possible to participate in the assessment and development of avoidance and mitigation measures. Indigenous and traditional knowledge is a valuable resource for identifying and addressing potential risks, including hazards and disaster risks, and should be incorporated throughout the programme cycle. Assess all potential direct, indirect, social, environmental, cultural, and spiritual impacts on indigenous peoples, including potential impacts on their rights, lands, territories, and resources.⁹² Review of all substantive rights, property

⁹² See Convention on Biological Diversity: The [Akwé: Kon Voluntary Guidelines](#) for the Conduct of Cultural, Environmental and Social Impact Assessments Regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities (CBD Decision VII/16). The Guidelines provide advice on how to incorporate cultural, environmental (including

interests, tenurial arrangements, and traditional resource usage may be required. Avoid adverse impacts on indigenous peoples to the maximum extent possible, including exploration of alternative programming strategies, designs and locations or consideration of not proceeding with the activities. Where avoidance of adverse impacts is not possible, minimize and mitigate residual impacts in a culturally appropriate manner per the mitigation hierarchy.

7. **Culturally appropriate benefits.** Ensure that affected indigenous peoples are able to derive benefits from programming activities in a culturally appropriate and inclusive manner giving full consideration to options preferred by the indigenous peoples concerned. The provision of compensation and benefits is to take into account the institutions, rules, and customs of affected indigenous peoples and may occur on a collective basis with mechanisms for effective distribution of benefits to all members of affected groups, as far as practical. Indigenous peoples affected by programming activities should share equitably in benefits derived from any commercial development of indigenous peoples' lands, territories or resources or from the use or development of indigenous peoples' cultural heritage.
8. **Support rights to lands, territories, and resources.** Indigenous peoples have collective rights to own, use, develop, and control lands, territories (including waters) and resources that they have traditionally owned, occupied, or otherwise used or acquired. Avoid programming activities that may undermine or inadvertently weaken such rights. Where appropriate and/or necessary, support activities that would result in legal recognition of customary or traditional land tenure and management systems and collective rights of programming-affected indigenous peoples, including through the implementation of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests (VGGT).⁹³
9. **People living in voluntary isolation or initial contact.** Where supported activities may directly or indirectly impact indigenous peoples in voluntary isolation or initial contact, take all appropriate measures to avoid undesired contact and to respect and protect their lands and territories, environment, health and culture. Where relevant, assist national authorities to limit access and to regularize lands of groups living in isolation.
10. **Special considerations.** Ensure that programming pays particular attention to the rights and special needs of indigenous women, youth, children, and persons with disabilities. Seek to ensure that there is no discrimination against such groups and give special consideration to measures to improve their participation in decision-making and their general well-being.
11. **Relocation.** Indigenous peoples shall not be forcibly removed from their lands and territories. Where, as an exceptional measure, relocation cannot be avoided, it shall take place only after seeking free, prior and informed consent of the indigenous peoples concerned and in line with national law, international human rights obligations and the requirements herein.
12. **Cultural heritage.** In addition to the relevant benchmark standards under the Cultural Heritage thematic area, where supported activities may lead to significant adverse impacts to the cultural heritage of indigenous peoples, consult and cooperate in good faith with the affected indigenous peoples with the objective of obtaining their free, prior and informed consent before the approval of the relevant activities. If indigenous peoples affected by programming activities hold the location, characteristics or traditional use of cultural heritage in secret, put in place measures to maintain confidentiality.⁹⁴

biodiversity-related), and social considerations of indigenous and local communities into new or existing impact-assessment procedures, to ensure appropriate development. They support the full and effective participation of indigenous and local communities in screening, scoping and development planning exercises, taking into account their traditional knowledge, innovations and practices.

⁹³ See [Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests \(VGGT\)](#).

⁹⁴ See Convention on Biological Diversity: The [Tkarihwaité:ri Code of Ethical Conduct](#) to Ensure Respect for the Cultural and Intellectual Heritage of Indigenous and Local Communities (CBD Decision X/42).

13. **Plans to address impacts and benefits.** Develop a time-bound action plan for programming activities that may affect indigenous peoples' rights, lands, territories, resources, traditional livelihoods, and cultural heritage (such as Indigenous Peoples Plan or an Indigenous Peoples Planning Framework⁹⁵ if specific activities and locations have not yet been determined). The action plan shall identify potential risks and impacts, risk avoidance and mitigation measures, and measures for provision of culturally appropriate benefits, continued consultation and participation processes, grievance procedures, monitoring and evaluation procedures, and a budget and financial plan for implementing agreed measures. Where programming activities are designed solely to benefit indigenous peoples, a separate action plan may not be required provided programming documentation addresses the above elements.
14. **Grievance Mechanism.** Ensure an effective, culturally appropriate, accessible grievance redress mechanism is established for the programming activities, with due consideration of customary dispute settlement mechanisms among the indigenous peoples concerned. The development of the grievance mechanism should be part of the full, effective and meaningful consultation and participation processes and should be specified in any negotiated agreements. While it is advisable to address any feedback and concern of affected parties at the local level, the local feedback and complaints mechanism should be supplemented by an entity-level Independent Accountability Mechanism as a recourse for grievances that are not solved locally (see the section on Stakeholder Engagement and Accountability).
15. **Monitoring.** Involve knowledgeable experts and ensure indigenous peoples affected by programming activities shall jointly monitor implementation throughout the full duration of the programming cycle.

⁹⁵ See [Indigenous Peoples Safeguards: A Planning and Implementation Good Practice Sourcebook, ADB](#)

4.9 SES 7: Cultural Heritage

A: Introduction

UNICEF recognizes that Cultural heritage is central to individual and collective identity and memory, providing continuity between the past, present and future. Cultural heritage reflects and expresses people's constantly evolving values, beliefs, knowledge, traditions and practices. Cultural heritage also serves a crucial role within the sustainable development process through enhancing social cohesion, diversity, well-being and the quality of life; supporting cultural rights by protecting the heritage of minority and indigenous groups; fostering socio-economic regeneration; enhancing the appeal and creativity of cities and regions; boosting long-term tourism benefits; and enhancing sustainable practices. Cultural heritage resources are often unique and irreplaceable, and may be particularly fragile due to neglect, exploitation, or even destruction given their symbolism

UNICEF seeks to preserve, protect and promote cultural heritage in UN-entity programming in a manner consistent with UNESCO cultural heritage conventions or any other national or international legal instruments that might have a bearing on the use of cultural heritage.⁹⁶

B: Objectives

- To protect Cultural Heritage from damage, inappropriate alteration, disruption, removal or misuse
- To preserve and safeguard Cultural Heritage
- To promote the equitable sharing of benefits from the use of Cultural Heritage
- To promote meaningful consultation with stakeholders regarding preservation, protection, utilization and management of Cultural Heritage

C: Scope of application

The applicability of SES 7 is established during the social and environmental screening (see Section 5).

The Standard applies to programmes or projects that may adversely impact Cultural Heritage, including those that meet any of the following criteria: (i) located in, or in the vicinity of, a Cultural Heritage site⁹⁷; (ii) involving significant excavations, demolitions, movement of earth, flooding, or other environmental changes; (iii) proposes to utilize tangible or intangible forms of Cultural Heritage for commercial or other purposes.

The requirements of this Standard apply to Cultural Heritage regardless of whether or not it has been legally protected or previously disturbed.

For programmes or projects that may affect the Cultural Heritage of Indigenous People, the requirements of SES 6 apply. This Standard shall be interpreted in a manner to be consistent with SES 6.

⁹⁶ These conventions include [The Hague Convention \(for Protection of Cultural Property in the Event of Armed Conflict\) \(1954\)](#), [The Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property \(1970\)](#), [The Convention on the Protection of the World Cultural and Natural Heritage \(1972\)](#), [The Convention for the Protection of the Underwater Cultural Heritage \(2001\)](#), [The Convention on the Safeguarding of the Intangible Cultural Heritage \(2003\)](#) and [the Convention for the Protection and Promotion of the Diversity of Cultural Expressions \(2005\)](#). See also the work of the [WIPO Intergovernmental Committee on Intellectual Property and Genetic Resources, Traditional Knowledge and Folklore \(IGC\)](#) relating to intellectual property and the protection of traditional knowledge and traditional cultural expressions.

⁹⁷ Examples may include UNESCO World Heritage Sites, legally protected areas, including areas proposed for such designation, and areas recognized by national governments. However Cultural Heritage sites may be unknown and not visible.

The term “Cultural Heritage” includes tangible and intangible heritage which may be recognized and valued at the local, regional, national, or global level,⁹⁸ as follows:

- *Tangible cultural heritage* includes moveable or immovable objects, sites, structures, groups of structures, human settlements and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Tangible cultural heritage may be located in any setting and in any environment (e.g. above or below ground or under water).
- *Intangible cultural heritage*, also referred to as living heritage, includes practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artefacts and cultural spaces associated therewith – that communities/groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history and provides them with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity. This may include:
 - a) oral traditions and expressions, including language as a vehicle of the intangible cultural heritage;
 - b) performing arts;
 - c) social practices, rituals and festive events;
 - d) knowledge and practices concerning nature and the universe;
 - e) traditional craftsmanship.

D: Specific requirements

1. **Avoidance assessment and mitigation of adverse impacts:** UNICEF Projects seek to avoid supporting activities that may lead to significant adverse impacts to Cultural Heritage. UNICEF considers potential direct, indirect, irreversible and cumulative impacts to cultural heritage. Avoid adverse impacts on cultural heritage, and where avoidance is not possible – ensuring that all viable and feasible alternatives have been explored – minimize and mitigate impacts per the mitigation hierarchy (e.g. relocating or modifying the footprint of supported activities, in situ conservation and rehabilitation). Ensure activities do not contravene national or international obligations regarding cultural heritage and implement globally recognized practices for field-study, inventorying, documentation, and protection of cultural heritage. Ensure that supported activities take into account and do not contribute to exacerbating disaster risk at cultural heritage sites. Undertake an appropriate Heritage Impact Assessment⁹⁹ and adopt a Cultural Heritage Management Plan where adverse impacts to cultural heritage may be significant.
2. **Chance find procedures.** Include chance find procedures in all plans and contracts regarding programming-related construction, including excavations, demolitions, movement of earth, flooding, or other changes in the physical environment. Such procedures establish how chance finds of cultural heritage shall be managed, including notification of relevant authorities and stakeholders, avoidance of further disturbance or damage, protection, documentation and assessment of found objects by relevant experts.
3. **Community participation, stakeholder consultations and use of experts.** Engage qualified cultural heritage experts and relevant stakeholders to assist in the identification, documentation and protection of potentially affected cultural heritage. Ensure meaningful, effective stakeholder consultations are undertaken, including with local and national regulatory authorities entrusted with the protection of cultural heritage; local, national or international cultural heritage experts and organizations; and affected-parties, including individuals and communities who develop, have developed, use or have used the potentially affected cultural heritage within living memory. Where the cultural heritage of indigenous

⁹⁸ The listed elements and features do not need to be ancient in order to be considered Cultural Heritage and the benchmark standards do not apply an age limitation.

⁹⁹ For example, see the [ICOMOS Guidance on Heritage Impact Assessments for Cultural World Heritage Properties](#). Where supported activities may affect natural World Heritage sites, see [IUCN World Heritage Advice Note on Environmental Assessment](#).

peoples may be affected by project/programme activities, ensure that the requirements of the Indigenous Peoples thematic area are followed.

4. **Continued access.** Avoid restricting access of relevant communities to cultural heritage sites and to the instruments, objects, artefacts, cultural and natural spaces and places of memory necessary for expressing intangible cultural heritage. However, where this is not possible allow continued access based on stakeholder consultations and provide alternative routes if access is blocked, subject to overriding safety and security considerations.
5. **Confidentiality and restricted access by communities.** Together with stakeholders determine whether disclosure of information regarding cultural heritage would compromise or jeopardize its safety or integrity or endanger sources of information. In such cases, sensitive information may be withheld from public disclosure. If communities affected by programming activities hold the location, characteristics or traditional use of cultural heritage in secret, put in place measures to maintain confidentiality. Respect customary practices enacted and conducted by the communities which restrict access to certain specific aspects of intangible cultural heritage or to information about it.
6. **Intangible cultural heritage.** Respect the dynamic and living nature of intangible cultural heritage and the right of communities, groups and, where applicable, individuals to continue the practices, representations, expressions, knowledge and skills necessary to ensure the viability of their intangible cultural heritage. Where programming may involve or affect intangible cultural heritage, ensure the meaningful participation of concerned parties in identifying risks and impacts to their intangible cultural heritage – including its decontextualization, commodification and misrepresentation – and in determining appropriate mitigation and safeguarding measures. This includes in the identification, inventorying, documentation, research, preservation, protection, promotion, enhancement, transmission, and revitalization of the various aspects of such heritage.
7. **Integration and utilization of cultural heritage.** Where programming activities propose to integrate and utilize cultural heritage in programming, including the knowledge, innovations, and practices of local communities, engage in meaningful consultations and inform the potentially affected communities and stakeholders of their rights and potential consequences of such integration and utilization. Where programming activities aim at facilitating commercial use by relevant communities of cultural heritage as an option for them to consider, inform the communities of their rights and options available to them. Programming activities that envisage supporting specific commercial activities involving cultural heritage should not proceed unless good faith negotiations with relevant affected communities have resulted in a successful documented outcome that provides for fair and equitable benefit sharing from such commercial use and appropriate mitigation and safeguarding measures are put in place per the mitigation hierarchy. Seek to ensure that any commercial use does not distort the meaning and purpose of the cultural heritage for the community concerned. Where programming activities propose the utilization of the cultural heritage of indigenous peoples, ensure furthermore that the requirements of the Indigenous Peoples thematic area are followed.
8. **Legally protected cultural heritage areas.** Identify and avoid adverse impacts to legally protected cultural heritage areas;¹⁰⁰ comply with defined national or local cultural heritage regulations, protected area management plans and/or conservation master plans; consult area sponsors and managers, local communities, local governments, local and national heritage authorities and other key stakeholders; and implement additional programs, as appropriate, to enhance conservation aims of protected areas.

¹⁰⁰ A Heritage Impact Assessment may be necessary, particularly for sites with an international designation such as cultural World Heritage sites.

Further Provisions for Specific Types of Cultural Heritage

- 1. Archaeological sites and materials.** Where there is evidence or high probability of past human activity in the programming area, conduct desk-based research and field surveys to document, map and investigate archaeological remains, document location and characteristics of sites and materials discovered during the programming life-cycle, provide documentation to cultural heritage authorities, and provide documentation, with advice on due obligations, to relevant authorities undertaking programming activities (e.g. departments of waterworks, agriculture, tourism, transportation and energy). Determine in consultation with cultural heritage experts whether discovered material requires (a) documentation only, (b) excavation and documentation, or (c) conservation in place, and manage site accordingly. Most archaeological features are best protected by preservation in situ. If not possible, transfer of the cultural heritage to another location shall be conducted in consultation with and agreement of programming-affected people, in accordance with good international practice. Determine ownership and custodial responsibility for discovered material. Until custody is transferred, ensure identification, conservation, labeling, secure storage and accessibility for study and analysis.
- 2. Built heritage.** Identify appropriate mitigation measures to address potential impacts on built heritage, which may include (a) documentation; (b) conservation or rehabilitation in situ, (c) relocation, reconstruction and conservation or rehabilitation. Most built heritage features are best protected by preservation in situ. If not possible, transfer of the cultural heritage to another location shall be conducted in consultation with and agreement of programming-affected people, in accordance with good international practice. During any rehabilitation, maintain authenticity of form, construction materials and techniques of structures according to laws, regulations and good international practice. Preserve physical and visual context of individual or groups of historic structures by considering appropriateness and effect of supported infrastructure proposed for the location within sight range.
- 3. Landscapes and natural features with cultural significance.** Identify through research and consultation with people affected by programming activities the landscape elements and natural features with cultural significance, the people that value such elements and features, and individuals or groups with authority to represent and negotiate regarding their location, protection, and use. Landscapes and natural features derive much of their significance from their location and their holistic environmental context, and often can only be protected by preservation in situ. Preserve physical and visual integrity of landscapes by considering appropriateness and effect of programming activities (e.g. infrastructure) proposed for the location within sight range. In cases where natural features can physically be relocated and cannot be preserved in situ, their transfer to another location shall be conducted with participation and agreement of programming-affected people, in accordance with good international practice. Programming activities and any agreement reached regarding the transfer of natural features shall respect and enable continuation and transmission of the traditional practices associated with the landscape elements and natural features.
- 4. Movable Cultural Heritage.** Take measures to guard against theft and illegal trafficking of movable cultural heritage (e.g. books, paintings, sculptures, costumes, jewelry, textiles) and artefacts stored and displayed in museums (or their equivalent) that are affected by programming activities and notify relevant authorities if any such activity occurs. Identify items that may be endangered and make provision for their protection throughout the programming life-cycle. Inform religious or secular authorities or other responsible cultural heritage custodians of project/programme activities, schedule and alert them regarding potential vulnerability of movable cultural heritage items.

4.10 SES 8: Climate Change and Disaster Risks

A: Introduction

1. Climate change impacts and disaster risks pose a fundamental threat to sustainable development and the fight against poverty. They have the potential to stall and even reverse human development through its impacts on key development sectors and activities, including agriculture and food production, water, ecosystems and other natural resources, disaster risk management and health. Climate change has become a key driver of hydro-meteorological disasters and has the potential to produce negative impacts through gradual environmental changes and may exacerbate extreme weather events, increasing the risk of slow and sudden-onset, high-impact disasters. Climate variability is contributing to the increasing frequency and impact of small-scale localized disasters with far-reaching long-term socio-economic and developmental impacts.
2. The Sustainable Development Goals, the UNFCCC and Paris Agreement, and the Sendai Framework on Disaster Risk Reduction¹⁰¹ require parties to integrate climate change and disaster risk considerations into projects, programmes, plans, and policies in order to strengthen resilience and to reduce potential exposure and vulnerability of communities.
3. Reducing the negative impacts of climate change is pursued through two complementary strategies: mitigation (reducing greenhouse gas emissions¹⁰² that are an anthropogenic root cause of climate change) and adaptation (adjusting human systems to moderate harm and/or exploit beneficial opportunities from climate change).
4. Disaster risk reduction involves reducing potential exposure and vulnerability to a broad range of potential hazards, including biological, environmental, geological/geophysical, hydrometeorological, and technological processes and phenomena. The Sendai Framework calls for decision-making to be inclusive and risk-informed while using a multi-hazard approach to guide programming. Disaster risk reduction requires integrated analysis and planning to prevent, reduce, manage and strengthen resilience to potential hazards, including applying the concept of “build back better” after a disaster to increase the resiliency of communities. Disaster risk reduction measures are mainstreamed across the various thematic areas of the Model Approach; under this thematic area risks associated primarily with weather-related or hydrometeorological hazards are addressed.
5. Communities that are already subjected to impacts from climate change may experience an acceleration and/or intensification of impacts due to programming activities that do not integrate and anticipate climate change and disaster risks. The benchmark standards below identify actions to reduce exposure and vulnerability of communities to climate change and disaster risks.

¹⁰¹ See [Sendai Framework on Disaster Risk Reduction 2015-2030](#).

¹⁰² “Greenhouse Gases“(GHGs) means those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and re-emit infrared radiation. The [UNFCCC requires countries to report on the following direct GHGs](#): carbon dioxide (CO₂); methane (CH₄); nitrous oxide (N₂O); hydrofluorocarbons (HFCs); perfluorocarbons (PFCs); sulfur hexafluoride (SF₆); nitrogen trifluoride (NF₃) from five sectors (energy; industrial processes and product use; agriculture; land use, land-use change and forestry; and waste). The [Montreal Protocol](#) calls for the phase out of the powerful GHG hydrochlorofluorocarbons (HCFCs) and the phasedown of controlled hydrofluorocarbons (HFCs).

B: Objectives

Climate change and environmental degradation are already harming children, especially those that are most disadvantaged. Unless action is taken, future impacts will be far more dramatic, undermining much of the progress made for children over the last decades. Children, especially the most disadvantaged, are highly vulnerable to climate change impacts (e.g. increasing incidence and frequency of heat waves, droughts and floods) and are already suffering the consequences. Although many governments and development partners have on-going programmes to develop policy, raise awareness, build institutional capacity and support communities to adapt to climate change, very few pay sufficient attention to the impact of climate change and environmental degradation on children.

The main objective of this Standard is to ensure that UNICEF programmes and projects are sensitive to climate change risks in order to achieve sustainable development outcomes.

- Strengthen resilience of communities to address risks of climate change impacts and disasters;
- Ensure programming integrates climate change adaptation considerations and does not exacerbate vulnerability of communities to climate change impacts or disaster risks; and
- Minimize programming-related greenhouse gas (GHG) emissions and intensity and maintain carbon sinks.

C: Scope of application

The applicability of SES 8 is established during social and environmental screening. The Standard applies to all UNICEF programmes and projects that have development outcomes that may be threatened by climate change, or may contribute to increased exposure and/or vulnerability to climate change. Requirements of this Standard apply to all Projects that (i) have development outcomes that may be threatened by climate change or disaster risks; (ii) may contribute to increased exposure and/or vulnerability to climate change or disaster risks; or (iii) may produce significant GHG emissions.

D: Specific requirements

1. **Climate change and disaster risk analysis, planning, implementation, monitoring and evaluation.** Potential adverse impacts may be caused by gradual changes in climate, including rising temperatures, decreased water availability, salinization of land and fresh water, erosion, desertification, sea level rise, ocean acidification, loss of natural buffer zones, among other potential changes. Climate change may also affect the frequency, intensity, spatial extent, duration and timing of weather-related or hydrometeorological hazards leading to sudden-onset extreme events such as floods, landslides, tropical storms, wildfires and droughts.
6. Ensure programming is sensitive to and informed by climate change and disaster risk considerations through the below measures:
 - Integrate relevant and up-to-date climate and disaster risk information during the design and implementation of interventions;
 - Identify potential exposure of relevant communities, ecosystems, and critical infrastructure to climate change impacts and hazards, both natural and human-made, including to natural hazard-triggered technological (or “Natech”) accidents.¹⁰³

¹⁰³ See UNISDR, [Words into Action Guidelines: 9. Natech Hazards and Risk Assessment \(2017\)](#).

- Analyse physical, social, economic and environmental factors or processes which increase the susceptibility and vulnerability of relevant communities to potential climate change impacts and hazards – with a particular focus on marginalized and disadvantaged groups and individuals;
 - Examine viability of intended outcomes and sensitivity of programming components given potential climate change impacts and disaster risks;
 - Assess whether activities may increase exposure or exacerbate vulnerability to climate change impacts or disasters (e.g. maladaptation) and avoid activities that may exacerbate such risks;
 - Integrate where relevant climate change adaptation and disaster risk reduction considerations in planning (risk-informing and “climate proofing”) and seek to identify opportunities for strengthening resilience and reducing vulnerabilities, including where possible through ecosystem-based approaches.¹⁰⁴ Seek synergies with existing or planned activities for generating climate change mitigation co-benefits (e.g. reduction in GHG emissions) where possible;
 - Incorporate stakeholder perspectives, including those most vulnerable to potential climate change impacts and disaster risks, into programming risk analysis, planning, implementation, monitoring and evaluation.
 - Ensure that appropriate climate and disaster risk management plans are in place, including but not limited to emergency and response plans and ensure appropriate monitoring and, where necessary, adoption of corrective measures;
 - Where relevant, integrate disaster risk reduction measures into the restoration of physical infrastructure and societal systems to “build back better” after a disaster to increase the resiliency of communities;
7. **GHG emissions and carbon sinks.** Minimize and avoid unwarranted increases in greenhouse gas emissions or other drivers of climate change from supported activities, including through the following measures:
- Consider alternatives and implement technically and financially feasible options to minimize programming-related GHG emissions and other drivers of climate change. Options may include alternative locations; use of renewable and low-carbon energy sources; energy efficiency; use of low-global-warming-potential coolants for air-conditioning and refrigeration; “climate-smart” agriculture and livestock management practices¹⁰⁵; and ecosystem-based adaptation and mitigation measures.
 - Where GHG emissions may be significant, characterize and estimate potential sources of GHG emissions related to programming activities to form a baseline for reducing such emissions, providing such estimation is technically and financially feasible. The UN entity should support and adopt GHG-accounting methodologies for programming activities according to good international practice; and
 - Protect, conserve and, where appropriate, incorporate carbon sinks in programming activities. Carbon sinks absorb atmospheric carbon into plants, soils, wetlands and water.

¹⁰⁴ Among other measures, conserving biodiversity and promoting healthy ecosystems strengthens resilience to potential adverse climate change impacts and disaster risks and may facilitate effective adaptation strategies. See CBD/SBSTTA, [Guidelines for Ecosystem-Based Approaches to Climate Change Adaptation and Disaster Risk Reduction](#), January 2018 (draft); and E Cohen-Shacham, G Walters, C Janzen, S Maginnis (eds.) [Nature-based Solutions to Address Global Societal Challenges](#), IUCN 2016.

¹⁰⁵ See FAO, [Climate Smart Agriculture](#).

5. Implementation Procedures: Social and Environmental Management System Requirements

5.1 Approach to Implementation

This section of the SESSP describes the full set of procedures, tools and guidelines that need to be applied for all programmes and risk categories of projects, and it guides UNICEF managers on the required safeguard management process in case their programmes or projects are considered to be in moderate or high-risk categories. UNICEF staff will require training to develop the competence to assess and guide the compliance of programmes and projects with these safeguard provisions.

The SESSP is supplemented by the following three documents that provide detailed procedural guidance for programme and project development teams:

- (i) The Social and Environmental Screening Notes for Donor Proposals (SESN).
- (ii) A Post-Screening Implementation Guidance Note.
- (ii) Accountability and Grievance Mechanism Guidance.

5.2 Application of the Standards to Donor Proposals

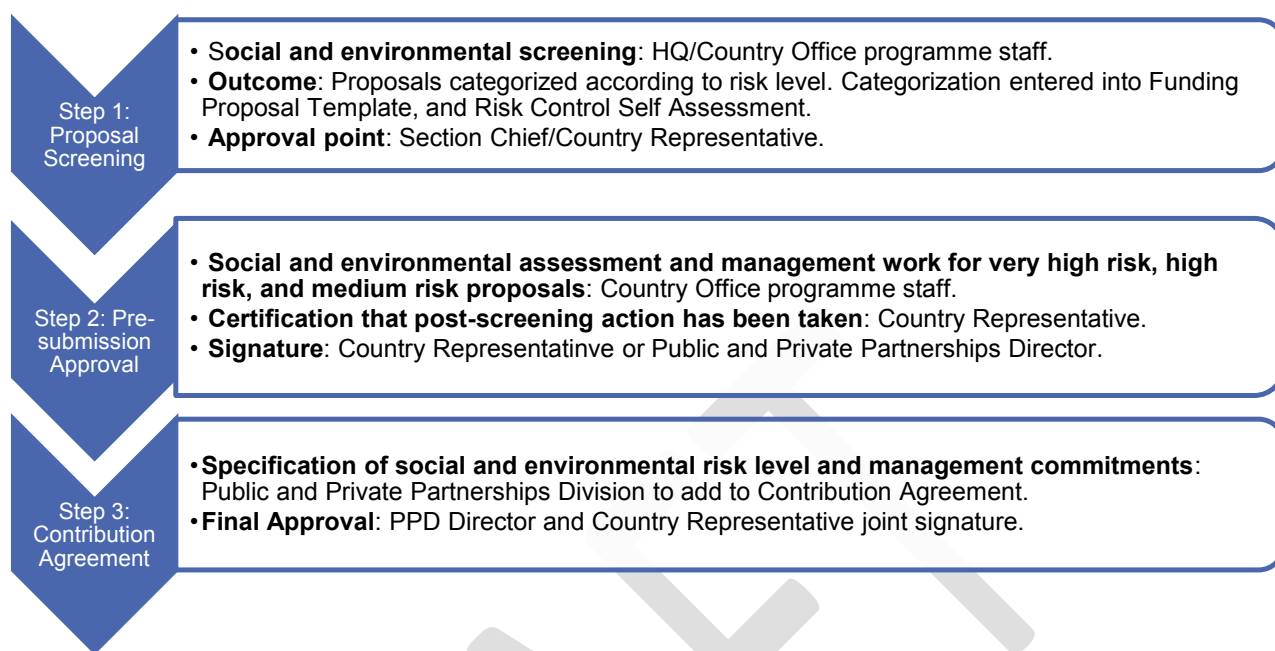
Section 4.8 of the Programme Policy and Procedure Manual (PPPM) states that:

“Country Offices must ensure that locally-negotiated donor agreements are consistent with UNICEF policy and procedure and have been cleared by concerned PARMO¹⁰⁶ donor focal points before finalization and signatures”.

There are three “action steps” in the application of the Standards to donor proposals. They are: (i) proposal screening; (ii) pre-submission approval; and, (iii) Contribution Agreement. These steps are summarized in Figure 2.

¹⁰⁶ Now PPD

Figure 2: Application of SESSP Standards to Donor Proposals



5.2.1 Proposal screening

HQ and Country Office programme staff are responsible for undertaking the social and environmental screening of the proposal during its concept stage. Staff should refer to the relevant section of the Public Partnerships Division “Guidance for the Development of Donor Proposals” (version 1, October 2014).

This section requires that they undertake social and environmental screening of the proposal by applying the Social and Environmental Screening Note.

The objectives of the SESN are as follows:

- Identify **potential** social and environmental risks and their significance
- Determine the project’s risk category (low, moderate, high); and
- Determine the level of social and environmental assessment and management required to address potential risks and impacts

The outcome of the SESN will be a categorization of social and/or environmental risk. The Risk Assessment and Mitigation Assessment Table in the PPD Guidance document should be used to categorize proposal as follows:

High risk: potential for significant negative impacts, possibly irreversible; requires full Social and Environmental Impact Assessment (SEIA) or comparable study to develop an effective Social and Environmental Management Plan (SEMP). For example, projects that involve significant quantities of hazardous substances are normally considered a priori as high risk. Every SEMP should be carefully monitored and reported to the stakeholders during project implementation.

Moderate risk: potential for negative impacts, but these are likely to be less significant in scale; some potential risks manageable through standard “good practice” during project implementation without a separate SEMP; other potential risks requiring limited environmental, social or economic analysis to determine the potential impacts identified through the screening. These projects may need to develop a SEMP to monitor and manage the identified risks. However, for many cases in this category, a straightforward application of “good practice” may be sufficient.

Low risk: potential for negative impacts negligible; requires no further study or impact management beyond the application of the Guiding Principles, stakeholder engagement and access to complaints and grievance processes. However, as environmental and social risk management is an iterative process, as implementation begins, monitoring for environmental and social risks continue throughout the project lifecycle.

HQ Programme Division/Country Office programme staff will enter this categorization outcome into the Funding Proposal Template, and into the Risk Control Self-Assessment. The HQ Programme Division Deputy Director/Section Chief/Country Representative¹⁰⁷ is responsible for signing-off that the screening has been undertaken.

5.2.2 Pre-submission approval

After screening and proposal categorization have taken place, there will be further assessment and/or management work to be done if the proposals are considered to be anything other than low risk.

For proposals with risks identified as moderate or higher, social and environmental impact assessments (SEIAs) and/or social and environmental management plans (SEMPs) will need to be developed. This is the responsibility of HQ and/or Country Office programme staff who may need to hire experts for this. When this assessment and/or management work takes place will be determined in consultation with the potential donor. Options include:

- (i) before submission to the donor;
- (ii) prior to the signing of the Contribution Agreement with the donor;
- (iii) after the signing of the Contribution Agreement, but prior to the initiation of activity (e.g. inception phase of project).

Each option has implications for the funding of assessment and management work. Funding could come either from regular resources; from regular resources and then be reimbursed from the donor funds post-approval; or, from the donor itself.

When the relevant assessment or management work has been certified to the satisfaction of the HQ PD staff/Country Representative, the PPD Director gives his/her approval for submission of the proposal to the donor.

¹⁰⁷ Or other to be determined staff e.g. deputy representative

5.2.3 Contribution Agreement

The final step in the application of the SESSP Standards to donor proposals involves the specification of the social and environmental risk level and management commitments in the Contribution Agreement made with the donor. This addition to the Contribution Agreement needs to be made jointly between the Director of PPD and the HQ PD Director/Country Representative.

5.3 Use of Country or Partner Safeguard Systems

UNICEF's implementing partners are required to respect and comply with UNICEF's SESSP.

Where a country or partner has an environmental and social safeguard system in place with similar or higher standards compared to UNICEF's SESSP, and where it this system has been assessed during project screening, then UNICEF will encourage the use of the country or partner procedures for assessing a project's environmental and social risks. In these cases, UNICEF will not require the application of its own SESSP.

Where a country or partner does not have an environmental and social safeguard system in place, or where its existing system does not meet UNICEF's SESSP as tested during project screening, then the UNICEF SESSP will apply. UNICEF will give particular attention to areas where the national executing agency may need special assistance, or where the issues are inherently complex.

5.4 Stakeholder Engagement and Accountability

Introduction

Effective stakeholder engagement is a cornerstone to achieving sustainable development. Meaningful engagement with stakeholders, including access to timely and relevant information and grievance redress, are key aspects of a human rights-based approach to programming.¹⁰⁸ Government partners, civil society actors and organizations, local government actors, private sector actors, employers' organizations, trade unions, indigenous peoples, local communities and other stakeholders are crucial partners for UN programming. Effective stakeholder engagement is also fundamental to attaining the Sustainable Development Goals (SDGs) and addressing the principle of 'leave no one behind' in combatting inequality and ensuring equity and non-discrimination across all programming areas.

Objectives

- Promote the meaningful and effective participation of parties affected by programming activities and other stakeholders throughout the programming life-cycle;
- Ensure stakeholders have timely access to appropriate, understandable information on programming activities and potential environmental and social risks and impacts; and
- Ensure affected parties have access to effective remedy through fair, transparent, and inclusive grievance redress processes and mechanisms.

¹⁰⁸ The [Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters](#) and its [Almaty Guidelines](#) support key dimensions of the accountability guiding principle.

5.4.1 Stakeholder Engagement

1. UNICEF will promote meaningful and effective engagement and collaboration with stakeholders throughout the programming life-cycle, in particular with those who may be directly or indirectly affected by supported activities. Stakeholder engagement is an on-going process that involves to varying degrees: (i) stakeholder identification and analysis, (ii) planning of stakeholder engagement over the course of the programming, (iii) timely disclosure of relevant, accessible information on the programming activities, (iv) consultation and meaningful participation, (v) dispute resolution and addressing potential grievances, (vi) reporting to stakeholders, and (vi) inclusion of stakeholders in monitoring and evaluation. Stakeholder engagement shall address the following elements:
2. UNICEF will undertake stakeholder identification and analysis of different stakeholder groups. The term “stakeholder” refers to individuals or groups or organizations representing them who are affected or are likely to be affected by the programming activities or to those who may have an interest in the programming activities. Stakeholder identification includes those affected parties who belong to marginalized and disadvantaged groups. Identify stakeholders who may require different or separate forms of engagement, including women, youth, older persons, persons with disabilities, indigenous peoples, minorities;
3. UNICEF will develop and implement a Stakeholder Engagement Plan that is proportionate to the nature and scale of programming activities and potential environmental and social risks and impacts.¹⁰⁹ The Stakeholder Engagement Plan describes the timing and methods of engagement throughout the programming cycle, the range and timing of information to be communicated to stakeholders, and how views of differently affected groups will be captured. The plan outlines steps to remove obstacles to stakeholder participation and, where applicable, includes differentiated measures to allow effective participation of persons with disabilities and marginalized or disadvantaged groups. Disclose a draft of the Stakeholder Engagement Plan early and seek stakeholder views on the plan;
4. UNICEF will engage stakeholders as early as possible in the development of programming, enabling stakeholders’ views to be taken into account in design, including with the identification and management of environmental and social risks and impacts;
5. UNICEF will engage in meaningful effective consultations and collaboration in a culturally appropriate manner. Such consultation shall be a two-way process that seeks to identify priorities of stakeholders and provide them with opportunities to express their views at all points in the programming decision-making process on matters that affect them and allows programming teams to consider and respond to them.¹¹⁰ Topics the stakeholders will be able to express their views on shall include but are not limited to

¹⁰⁹ The form and content of Stakeholder Engagement Plans will depend on various factors, including the nature, scale, location, and duration of programming activities; the diverse interests of stakeholders; the scale of potential positive and adverse impacts on people and the environment; and the likelihood of grievances. It may consist of a straightforward description of the approach to stakeholder engagement activities for smaller activities with few if any adverse impacts or initial stakeholder concerns to comprehensive plans that map out detailed engagement activities across multiple phases of complex programming.

¹¹⁰ See the UNECE [Good practice recommendations on public participation in strategic environmental assessment](#) prepared under the Protocol on SEA in consultation with the Aarhus Convention constituencies.

programming goals and strategies; potential environmental and social risks and impacts; proposed mitigation measures; sharing of development benefits and opportunities; and implementation issues.¹¹¹

Meaningful effective consultations will be free of external manipulation, coercion, discrimination and intimidation; be gender- and -age inclusive and respond to the needs and interests of marginalized and disadvantaged groups, with engagement processes tailored to the language and accessibility preferences of each group, including persons with disabilities; be based on prior and timely disclosure of relevant, accessible understandable information; be free of charge; and provide appropriate time frames for stakeholders to consider and provide comments;

6. UNICEF will maintain records of stakeholder consultations, including a description of persons consulted, summary of all feedback received and how the comments and information received were taken into account or reasons why they were not, and share with all stakeholders consulted; and
7. UNICEF will continue stakeholder engagement throughout the life-cycle of the programming activities in a manner appropriate to the nature of the supported activities and potential environmental and social risks and impacts. Include stakeholders in monitoring implementation and evaluation of programming outcomes.
8. UNICEF programming activities may at times be undertaken in especially challenging environments, such as areas experiencing conflict, humanitarian crises or where human rights violations are rampant. Stakeholder engagement specialists with up-to-date familiarity of local contexts would most likely be required to devise and help manage engagement processes in such contexts. Decentralized, targeted meetings with specific stakeholder groups may be necessary. Where direct consultation with certain stakeholder groups is impossible, other avenues should be explored, such as meeting available representatives or utilizing third-parties as go-betweens. In such cases, care should be taken to ensure that the representatives and third-parties genuinely represent the stakeholders concerned. Timelines and documentation for stakeholder engagement may need to be adjusted. Risks to stakeholders from participation in supported activities in challenging environments should be closely monitored.

5.4.2 Access to Information

Consistent with its [Information Disclosure Policy](#),¹¹² UNICEF adheres to the principle of access to information, public participation in decision-making and access to justice in environmental matters, based on Rio Principle 10¹¹³. This principle includes early consultation, access to information and the adequate opportunity to review materials and present comments prior to decisions. Further details on what information should be disclosed by whom and when are explained in the separate Accountability and Grievance Mechanism document.

UNICEF will ensure stakeholders have timely access to relevant, appropriate, understandable information on the programming activities and potential environmental and social risks and impacts. Access to programming information shall address the following elements:

- Provide information to stakeholders on key aspects of programming activities as early as possible, including on the purpose, nature scale, and duration of proposed activities (through *inter alia* by providing access to draft and approved programming documentation); potential environmental and

¹¹¹ Affected persons should be provided, in understandable form, an explanation of relevant laws, regulations and the UN entity's standards.

¹¹² https://www.unicef.org/about/legal_disclosure.html

¹¹³ <https://www.gdrc.org/decision/principle-10.html>

social risks and impacts (including any draft, final, and updated environmental and social assessments and management plans); proposed stakeholder engagement processes and plans; grievance redress mechanisms; any required environmental and social monitoring reports; and how to obtain further information;

- Provide relevant information in understandable forms and relevant local languages in an accessible and culturally appropriate manner, considering any specific needs of groups that may be disproportionately affected by programming activities or groups with specific information needs, such as due to disability, literacy, gender, mobility, language, and accessibility;
- Ensure that programming information, including draft programming documentation and any draft environmental and social assessments and management plans, are disclosed in an accessible, understandable manner in a timeframe that allows for meaningful effective consultation. Programming activities with potentially significant environmental and social risk and impacts require sufficient disclosure timeframes prior to finalization and approval.¹¹⁴
- Maintain and disclose a public record of stakeholder engagement throughout the programming cycle. In cases where it may be necessary to safeguard the identities of stakeholders, statistical information is recorded and disclosed.
- The programming information outlined above will be provided to stakeholders free of charge.

5.4.3 Grievance Mechanism

UNICEF ensures that parties affected by programming activities have access to fair, transparent, and inclusive grievance redress processes and mechanisms free of charge. These will be designed in a manner proportionate to the nature of the programming activities and potential environmental and social risks and impacts and define clear roles and responsibilities and designate personnel responsible for implementation. The design of grievance mechanisms will meet the effectiveness criteria for non-judicial grievance mechanisms outlined in the United Nations Guiding Principles on Business and Human Rights¹¹⁵ as grievance redress mechanisms designed according to these principles are more likely to provide effective resolution of stakeholder grievances.

Stakeholders who may be adversely affected by a UNICEF Project can communicate their concerns about the social and environmental performance of the Project through various entry points, scaled appropriately to the nature of the activity and its potential risks and impacts. Potentially affected stakeholders are informed about available entry points for submitting their concerns as part of the stakeholder engagement process.

When necessary, an effective Project-level grievance redress mechanism is made available. The mandate and functions of a project-level grievance redress mechanism could be executed by the Project Board¹⁴¹ or through an Implementing Partner's existing grievance redress mechanisms or procedures for addressing stakeholder concerns. Where needed, UNICEF and Implementing Partners will strengthen the Implementing Partners' capacities to address Project-related grievances.

¹¹⁴ For programming activities that present potentially significant adverse environmental and social risks and impacts (e.g. High Risk), assessments and management plans should be disclosed at least 120 days prior to approval; for Moderate Risk programming, such disclosure should occur at least 30 days prior to approval.

¹¹⁵ UN Human Rights Council, Guiding Principles on Business and Human Rights, 2011, Report of the UN Special Representative of the Secretary-General on the issue of human rights and transnational corporations and other business enterprises, John Ruggie: Guiding Principles on Business and Human Rights: Implementing the United Nations "Protect, Respect and Remedy" Framework. A/HRC/17/31. See http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf.

In addition, UNICEF's Stakeholder Grievance and Response Mechanism is available to Project stakeholders as a supplemental means of redress for concerns that have not been resolved through standard Project management procedures.

Project-level grievance redress mechanisms and UNICEF's Stakeholder Grievance and Response Mechanism address concerns promptly through dialogue and engagement, using an understandable and transparent process that is culturally appropriate, rights-compatible, and readily accessible to all stakeholders at no cost and without retribution. They are gender- and age-inclusive and responsive and address potential access barriers to women, the elderly, persons with disabilities, youth and other potentially marginalized groups as appropriate to the Project. These grievance mechanisms and the Stakeholder Grievance and Response Mechanism do not impede access to judicial or administrative remedies as may be relevant or applicable.

UNICEF seeks to identify, reduce and address the risk of retaliation and reprisals against people who may seek information on and participation in project activities, express concerns and/or access Project-level grievance redress processes/mechanisms or UNICEF's Accountability and Grievance Mechanism. UNICEF will respect requests for confidentiality, with regard to the identity of complainants and disclosure of information provided to these mechanisms.

5.5 Monitoring, Reporting and Compliance

UNICEF monitors and evaluates its overall performance against the objectives and requirements of the Social and Environmental Standards.

The extent of monitoring activities is commensurate with the Programme's or Project's risks and impacts. UNICEF requires that (i) the progress of implementation of mitigation/management plans required by the SES is monitored, (ii) complaints/grievances are tracked and monitored; (iii) follow-up on any identified corrective actions is tracked; and (iv) any required monitoring reports on SES implementation are finalized and disclosed.

Monitoring and reporting should include data disaggregated by categories of potential beneficiary and/or affected groups and include specific gender indicators.

Where appropriate, monitoring shall engage and/or involve stakeholders and third parties, such as affected communities, independent experts, or NGOs, to complement or verify monitoring activities. The role of local governments should also be considered in monitoring activities.

Based on the monitoring results, any necessary corrective actions are undertaken. Stakeholders are promptly notified of any incident or accident related to the Project activities that has had (or is likely to have) significant adverse impacts on people or the environment. Immediate measures are undertaken to address and remedy the incident or accident, and to prevent any recurrence.

Ongoing reporting to affected communities and individuals: For Projects with potentially significant risks and impacts, periodic reports are provided to the affected communities that describe progress with implementation of Project management and action plans and on issues that the consultation process or grievance mechanism has identified as a concern. Any material changes or additions to the mitigation measures or actions plans are communicated to affected communities. Reports are provided at a frequency proportionate to the concerns of affected communities but not less than annually.¹⁴⁵

Monitoring activities involve direct participation of affected stakeholders, where possible, and in particular for Projects with potentially significant adverse risks and impacts.

Monitoring activities should:

- Serve the purpose of learning for future improvement and be flexible and adaptable.
- Balance quantitative and qualitative assessment.
- Use participatory tools that include target group narratives, especially women’s narratives, which are crucial.
- Track and assess reversals and capture negative impacts of a Project.
- Assess contribution to change instead of attribution-based frameworks.
- Be tailored to timeframes to ensure realistic measurement and reporting.
- Be supplemented by a review by an independent third party whenever possible.

Compliance review: UNICEF’s compliance review process is intended to investigate alleged or potential violations of UNICEF’s social and environmental commitments, including the SES, in the context of specific UNICEF Programmes or Projects. Individuals or communities potentially affected by UNICEF’s Programmes or Projects may submit complaints to an independent review body located in UNICEF’s Office of Internal Audit and Investigations (OIAI). OIAI evaluates whether UNICEF has complied with its obligations, whether any non-compliance has caused harm to the complainant, and how UNICEF can correct the non-compliance. UNICEF’s Executive Director makes the final determination of measures necessary to correct non-compliance.

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UNICEF Social and Environmental Screening Note (SESN)

Introduction

The Social and Environmental Standards and Procedures (SESSP) document outlines the approach that should be taken to screen, assess, and manage the potential social and environmental implications of UNICEF programmes and projects¹. This Social and Environmental Screening Note (SESN) provides detailed guidance for how the screening component of the SESSP should be approached for donor proposals.²

The objectives of the SESN are as follows:

- Identify **potential** social and environmental risks and their significance
- Determine the project's risk category (low, moderate, high); and
- Determine the level of social and environmental assessment and management required to address potential risks and impacts

The outcome of the screening will be a categorization of social and/or environmental risk. The Risk Assessment and Mitigation Assessment Table in the PPD Guidance document should be used to categorize proposals as follows:

High Risk (A): Proposal must undergo Social and Environmental Impact Assessment (SEIA) either before submission to donor, or after submission during the inception phase.

Moderate Risk (B)³: Proposal must produce a Social and Environmental Management Plan (SEMP) before submission to donor.

Low Risk (C): No action required beyond application of guiding principles, stakeholder engagement and access to complaints and grievance mechanisms.

Who is responsible for Screening?

Programme staff (whether at CO/RO/HQ) are responsible for undertaking the social and environmental screening of the proposal during its design. Staff should refer to the relevant section of the Public Partnerships Division "Guidance for the Development of Donor Proposals" (version 1, October 2014).

Staff are required to undertake social and environmental screening of the proposal by applying this Social and Environmental Screening Note.

¹ In the UNICEF context, "UNICEF project" refers to a set of planned activities over a specific period which contribute to the Programme components and the outcomes in those components.

² All proposals for funding to either bilaterals, other UN agencies, multilateral funds, private sector, or foundations.

³ For some donors (e.g. KfW) category B+ also exists

The overall responsibility for the SESN lies with the Project Developer. Before a project is submitted to a potential donor, the Project Developer⁴ must complete the following screening tables, submit it to the project reviewer/approver⁵, and attach it to the proposal template to show that it's been completed. Completion of the tables allows the Project Developer and the project reviewer/approver to assign the project to one of three risk categories (low, moderate, or high).

Programme staff will enter this categorization outcome into the Funding Proposal Template, and into the Risk Control Self-Assessment. The PD Director/Deputy/Section Chief or Country Representative is responsible for signing-off that the screening has been undertaken.

Once a risk category has been determined, guidance can then be sought from the separate Implementation Guide for High Risk and Moderate Risk Projects on how further environmental/social assessment or management should be undertaken.

When does screening and assessment take place?

The SESN should be used iteratively as a design and appraisal tool from the earliest stages of Project/proposal preparation. Pre-screening of the concept note and early drafts of the Project Document will help to ensure that social and environmental sustainability issues are considered and integrated into a Project's concept and design, enhancing the quality of the project. Early screening will help to anticipate how the SES Guiding Principles and, where relevant, the project-level standards may best be addressed in the Project's design.

After screening and proposal categorization have taken place, there will be further assessment and/or management work to be done if the proposals are considered to be anything other than low risk.

For proposals with risks identified as moderate or higher, social and environmental impact assessments (SEIAs) and/or social and environmental management plans (SEMPs) will need to be developed. This is the responsibility of HQ and/or Country Office programme staff who may need to hire experts for this. When this assessment and/or management work takes place will be determined in consultation with the potential donor. Options include:

- (i) before submission to the donor;
- (ii) prior to the signing of the Contribution Agreement with the donor;
- (iii) after the signing of the Contribution Agreement, but prior to the initiation of activity (e.g. inception phase of project).

Each option has implications for the funding of assessment and management work. Funding could come either from regular resources; from regular resources and then be reimbursed from the donor funds post-approval; or, from the donor itself.

When the relevant assessment or management work has been certified to the satisfaction of the HQ PD staff/Country Representative, the PPD Director gives his/her approval for submission of the proposal to the donor.

⁴ The person putting the proposal together.

⁵ Person who reviews/approves proposal before being sent to donor.

Progressing through the Screening Tables

The Project Developer should first fill out Section I (Project Overview), and Section II (Project Description). These sections only require descriptive information. Section III should be used by the Project Developer to ensure that the four Guiding Social and Environmental Principles outlined in Section 3 of the Social and Environmental Sustainability Standards and Procedures are taken account of in the development of funding proposals.

The next step is for Project Developers to work their way through Section IV (Screening Checklist).

I. Project Overview

Identification	<i>Insert Project ID#</i>	
Project Title	<i>Insert title</i>	
Managing Division/Unit		
Project Manager and Org. Unit	<i>Insert name</i>	<i>Insert Org. Unit and Division</i>
Type/Location	<i>[Global/Normative; Regional; National]</i>	
Region	East and Southern Africa	East Asia and the Pacific
	Europe and Central Asia	Latin America and the Caribbean
	West and Central Africa	South Asia
	Middle East and North Africa	
List Countries	<i>Enter country name(s)</i>	
Programme of Work⁶/Annual work plan outcome area?		
Project Duration		
Estimated Funding		

II. Project Description

Note: This section does not need to be completed if the relevant information is already included in the proposal document.

II.1 Justification of the project: What is the objective of the project and why is it important for the selected stakeholders, countries, region(s) or the global community?

⁶ Describe where the project fits within an agreed work programme.

II.2 Proposed outcome, outputs and activities

II.3 Estimated duration of project: _____ months
II.4 Estimated cost of the project _____ (USD)

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III. Principles Checklist

The below highlights the overarching and guiding principles that guide UNICEF's work. These are to be kept in mind as concepts/proposals are being developed and implemented.

Leave No One Behind	
The project should uphold human rights principle of equality and non-discrimination	
The project should provide marginalized/disadvantaged groups equal access to benefits/resources	
The project should promote active participation of marginalized/disadvantaged groups, with differentiated measures to strengthen their voice and participation	
The project should minimize and mitigate potential adverse impacts on marginalized/disadvantaged groups, considering potential disproportional effects on them	
The project should promote protection of most marginalized and vulnerable groups facing crisis, conflict situations, climate change impacts and natural disasters	
Human Rights Based Approach, Gender Equality and Women's Empowerment	
Human Rights Based Approach	
The project should base programming on human rights standards with aim to develop capacities of right-holders to claim rights and duty-bearers to fulfil obligations	
The project should uphold human rights principles of accountability and rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of discrimination include race, colour, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographic origin, property, birth or other status including as an indigenous person or as a member of a minority	
The project should support Governments and other State actors to adhere to their obligations and duties to respect, to protect, and to fulfill human rights	
The project should refrain from supporting activities that may contribute to violations of a State's human rights obligations	
The project should undertake environmental and social due diligence to identify, prevent, mitigate any actual or potential adverse human rights impacts	
The project should ensure all stakeholders have opportunities for meaningful participation in the formulation and implementation of projects and programmes	
The project should ensure programming is inclusive of and accessible to persons with disabilities, with reasonable accommodations provided	
The project should uphold human rights and the application of UN humanitarian principles in emergency/crisis response and humanitarian action	
Gender Equality and Women's Empowerment	
The project should promote gender equality, equal opportunities, and fair treatment of women and men	
The project should ensure activities do not discriminate against women and girls, reinforce gender-based inequalities and exclusion, or have disproportionate adverse gender-related impacts	
The project should conduct gender analysis to promote the design and implementation of gender responsive and gender transformative programming that addresses different needs and constraints of women, men, girls, and boys, taking into account the effects of multiple forms of discrimination	
The project should promote equal access to and control over productive resources and programming benefits	
The project should conduct gender-sensitive stakeholder analysis and strengthen women's participation in decision-making	
The project should empower and prioritize the needs of marginalized and vulnerable women, men, girls and boys	
The project should track progress on gender results, including use of sex-disaggregated data and gender sensitive indicators	

The project should adopt measures that seek to prevent and appropriately respond to incidences of sexual harassment, gender-based violence and/or sexual exploitation and abuse of women, men, girls and boys, including appropriate training to personnel, provision of effective reporting and response protocols, referrals for safe and confidential victim assistance, and prompt investigation of allegations of such incidences

Sustainability and Resilience

The project should integrate social, environmental and economic sustainability considerations into programming

The project should conduct sound environmental and social risk assessment and apply environmental and social safeguards per the mitigation hierarchy

The project should assess underlying risk drivers to avoid unforeseen long-term adverse impact to people and the environment

The project should apply a precautionary approach to addressing significant environmental and social challenges

The project should address vulnerability of people, in particular those of marginalized/disadvantaged groups, to potential climate change impacts and disaster risks

The project should identify and address interconnections among issues related to the environment, human rights, conflict, crises and vulnerability, where relevant

Accountability

The project should promote compliance with legal norms and standards, including national laws, regulations and obligations under international human rights law, international labour standards and environmental treaties and agreements, respecting the higher standard

The project should promote active local community engagement and participation in programming decision-making and implementation

The project should promote transparency of programming interventions through provision of timely, accessible and functional information

The project should promote stakeholder access to effective complaints redress processes/mechanisms without inhibiting access to judicial and administrative remedies

The project should monitor – where appropriate with stakeholders – and report on implementation of environmental and social risk management measures

IV. Screening Checklist

QUESTION 1: Has a combined social and environmental assessment/review that covers the proposed project already been completed by the National Partner or other donor(s)? e.g. UN agency, previous phase of initiative, additional sites, scaling up... etc.

Select answer below and follow instructions:

_____ **NO.** Continue to Question 2 (do not fill out Table 1.1)

_____ **YES.** No further social and environmental review is required if the existing documentation meets UNICEF’s requirements, and social and environmental management recommendations are integrated into the project design. Therefore, you should undertake the following steps to complete the screening process:

1. Use Table 1.1 below to assess existing documentation. If any of the seven questions result in a “No” answer, then continue to Question 2.
2. Ensure that the project incorporates the recommendations made in the National Partner or donor’s social and environmental review.
3. Summarize the relevant information contained in the National Partner’s or donor’s social and environmental review in the S&E Summary Note of this Screening Template, selecting Low Risk.
4. Attach this Screening Checklist and Summary Note, to the project documentation.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING SOCIAL AND ENVIRONMENTAL ASSESSMENT	Yes/No
1. Does the assessment/review meet its TOR, both procedurally and substantively?	
2. Does the assessment/review provide a satisfactory assessment of the proposed project?	
3. Does the assessment/review contain the information required for decision-making?	
4. Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures to be clarified during project preparation and implementation stages)?	
5. Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	
6. Does the assessment/review assess the adequacy of the cost of and financing arrangements for social and environmental management issues?	

Table 1.1 (continued) For any “No” answers, describe below how the issue has been or will be resolved (e.g. amendments made, or supplemental review conducted).

--

QUESTION 2: Does the project fall within any of the following categories?

- | | |
|---|--------|
| • Report writing | yes/no |
| • Education and training projects | yes/no |
| • Planning projects | yes/no |
| • Event coordination projects | yes/no |
| • Environmental and sustainable development analysis projects | yes/no |
| • Monitoring and evaluation exercises | yes/no |
| • Desk studies, workshops, meetings | yes/no |
| • Scientific research and field surveys | yes/no |
| • Remote sensing and geospatial analysis | yes/no |
| • Capacity development, communication and outreach programs | yes/no |
| • Institutional Development | yes/no |

Select answer below and follow instructions:

NO Continue to Question 3.

YES The proposed project will be categorized as Low Risk. No further social and environmental review required. Attach this Screening Checklist and the completed Summary Note to the project documentation.

QUESTION 3: Does the project fit within one of the following categories?

- Projects involving indigenous people;
- Projects involving resettlement of populations;
- Projects focused on large-scale infrastructure, such as refugee camps, major roads, energy production facilities or water supply from either freshwater or groundwater sources.
- Projects that may have potentially significant adverse impacts on physical cultural resources; and,
- Large-scale natural resource extraction activities such as farming, irrigation, mining or fishing.

Select the appropriate answer and follow instructions:

- NO** Continue to Question 4.
YES The proposed project will be categorized as “High Risk”. Conduct the following steps to complete the screening process:
1. Complete the Screening Checklist and the Summary Note and select “High Risk”.
 2. Attach the completed Screening Checklist and the Summary Note to the project documentation.

QUESTION 4: What are the potential social and environmental risks?

If you have been directed to this question, the proposed project could still be categorized as “High Risk” if it is likely to have a significant impact on one or more sensitive environmental or social components.

You should now therefore complete Table 4.1 to enable a decision to be made about whether the project should be “High Risk” or “Moderate Risk”.

If you answer “No” or “Not Applicable” to all questions in Table 4.1 then the answer to Question 4 is “No.” If you answer “Yes” to any questions in Table 4.1 (even one “Yes” can indicate a significant issue that needs to be addressed through categorizing the project as “High Risk”) then the answer to Question 4 is “Yes”:

_____ **NO.** The proposed project will be categorized as “Moderate Risk”. Complete the Summary Note by selecting “Moderate Risk” and attach the completed Screening Checklist and the Summary Note to the project documentation.

_____ **YES.** Conduct the following steps to complete the screening process:
Select “High Risk” in the Summary Note, and attach the Screening Checklist and the Summary Note to the project concept

TABLE 4.1: Checklist Potential Social and Environmental Risks

INSTRUCTIONS: Answers to the checklist questions help to:

- (1) identify potential risks,
- (2) determine the overall risk categorization of the project, and
- (3) determine required level of assessment and management measures

Important considerations:

- Project activities are screened for their inherent social and environmental risks before the application of mitigation and management measures. It is necessary to form a clear picture of potential inherent risks in the event that mitigation measures are not implemented or fail
- Screening for potential adverse social and environmental risks and impacts encompasses all activities outlined in the Project documentation and includes review of potential direct and indirect impacts in the Project’s area of influence ⁷

SES 1: Labour and Working Conditions	Answer (Yes/No/Not Applicable)	REMARKS
1.1 Would the project employ children who are below the nationally-defined minimum employment age, or children of any age which are engaging in hazardous work?		
1.2 Would the project have negative human rights implications for vulnerable groups?		
1.3 Would the project employ forced or trafficked labor, including bonded labor?		
1.4 Does the project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)		

⁷ A Project’s area of influence encompasses (i) the primary Project site(s) and related facilities (e.g., access roads, pipelines, canals, disposal areas), (ii) associated facilities that are not funded as part of the project but whose viability and existence depend on the Project (e.g., transmission line to connect UNDP-supported hydropower facility), (iii) areas and communities potentially affected by cumulative impacts from the Project or from other relevant past, present and reasonably foreseeable developments in the geographic area (e.g. reduction of water flow in a watershed due to multiple withdrawals), and (iv) areas and communities potentially affected by induced impacts from unplanned but predictable developments or activities caused by the Project, which may occur later or at a different location (e.g. facilitation of settlements, illegal logging, agricultural activities by new roads in intact forest areas).

SES 2: Resource Efficiency and Pollution Prevention	Answer (Yes/No/Not Applicable)	REMARKS
2.1 Would the project result in significant release of pollutants to air, water or soil?		
2.2 Would the project significantly consume or cause consumption of water, energy, or other resources through its own footprint or through the boundary of influence of the activity?		
2.3 Will the project result in significant ⁸ generation of greenhouse gas emissions?		
2.4 Will the project potentially result in the generation of wastes, including hazardous waste that cannot be avoided, recycled or disposed of in an environmentally and socially		
2.5 Will the project use, cause the use of, or manage the use of, storage and disposal of hazardous chemicals, including pesticides?		
2.6 Will the project potentially involve the manufacturing, trade, release and or use of hazardous materials subject to international action bans or phase-outs, such as DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants or the Montreal Protocol ?		
2.7 Will the project require procurement of chemical pesticides that are not a component of integrated pest management (IPM) or integrated vector management (IVM) approaches?		
2.8 Will the project require inclusion of chemical pesticides that are included in IPM or IVM but high in human toxicity?		
2.9 Would the project have difficulty in respecting FAO's International Code of Conduct in terms of handling, storage, application and disposal of pesticides?		
2.10 Will the project potentially expose the public to hazardous materials and substances?		
SES 3: Community Health, Safety and Security		

⁸ In regards to CO₂ “significant emissions” corresponds generally to more than 25,000 tons per year (from both direct and indirect sources).

3.1	Will there be potential risks and negative impacts to the health and safety of the affected communities during the project life-cycle?		
3.2	Will the project involve constructing new buildings or structures that will be accessed by the public?		
3.3	Will the project directly or indirectly cause health-related risks and impacts to the affected communities due to diminution or degradation of natural resources, such as quality, quantity, and availability of freshwater?		
3.4	Will any project activities potentially cause community exposure to water-borne, water-based, water-related, and/or vector-borne diseases, and communicable infections such as HIV/AIDS?		
3.5	Would elements of project construction, operation or decommissioning pose potential safety risks to local communities?		
3.6	Would failure of structural elements of the project pose risks to communities (e.g. collapse of buildings or infrastructure)?		
3.7	Would the project pose potential risks to community health and safety due to the transport, storage and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation?)		
<u>SES 4: Displacement and Resettlement</u>		Answer (Yes/No/Not Applicable)	REMARKS
4.1	Would the project potentially involve temporary or permanent and full or partial physical displacement?		
4.2	Would the project trigger involuntary restrictions on land use that deny a community the use of resources to which they have traditional or recognizable use rights?		
4.3	Would the project cause restrictions on access to land or use of resources that are sources of livelihood?		
4.4	Would the proposed project cause or involve involuntary resettlement?		

4.5	Will the project cause or involve forced eviction ⁹ ?		
4.6	Will the project cause a loss of crops and/or other assets?		
4.7	Will the project likely affect land tenure arrangements including communal and/or customary/traditional land tenure patterns negatively?		
<u>SES 5: Biodiversity Conservation and Sustainable Management of Natural Resources</u>		Answer (Yes/No/Not Applicable)	REMARKS
5.1	Will the proposed project support directly or indirectly any activities that significantly convert or degrade critical natural habitat?		
5.2	Will the project likely convert or degrade habitats that are legally protected?		
5.3	Will the project likely convert or degrade habitats that are officially proposed for protection? (e.g. World natural/cultural heritage site; National Park, Nature Conservancy, Indigenous Community Conserved Area, etc.)		
5.4	Will the project likely convert or degrade habitats that are identified by authoritative sources for their high conservation and biodiversity value?		
5.5	Will the project likely convert or degrade habitats that are recognized- including by authoritative sources and /or the national and local government entity, as protected and conserved by traditional local communities?		
5.6	Will the project approach possibly not be legally permitted or be inconsistent with any officially recognized management plans for the area?		
5.7	Will the project activities possibly have any adverse impacts on soils, their organic content, productivity, structure and water-retention capacity, or contribute to land degradation?		

⁹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

5.8	Will the project possibly affect negatively on biodiversity, natural habitats, or ecosystem services?		
5.9	Will the project introduce or utilize any invasive alien species, whether accidental or intentional?		
<u>SES 6: Indigenous People</u>		<u>Answer</u> (Yes/No/Not Applicable)	<u>REMARKS</u>
6.1	Are indigenous people be present in the project area or area of influence?		
6.2	Will the project likely be located on lands and territories claimed by indigenous people?		
6.3	Will the project potentially affect livelihoods of indigenous people through affecting the rights, lands and territories claimed by them?		
6.4	Will the project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous people?		
6.5	Will the project adversely affect the development priorities of indigenous people as defined by them?		
6.6	Will the project potentially affect the traditional livelihoods, physical and/or cultural survival of indigenous people?		
6.7	Will the project potentially affect the Cultural Heritage of indigenous people, including through the commercialization or use of their traditional knowledge and practices?		
<u>SES 7: Cultural Heritage</u>		<u>Answer</u> (Yes/No/Not Applicable)	<u>REMARKS</u>
7.1	Will the project potentially have adverse impact on sites or structures of cultural heritage that are internationally recognized or legally protected?		
7.2	Will the project potentially have adverse impact on objects with historical, cultural, artistic, traditional or religious values that are internationally recognized or legally protected?		

7.3	Will the project rely on or profit from tangible and/or intangible forms of cultural heritage for commercial or other purposes (e.g. tourism)?		
7.4	Will the project involve land clearing or excavation in which there is a possibility of encountering previously undetected tangible cultural heritage?		
SES 8: Climate Resilient Development		Answer (Yes/No/Not Applicable)	REMARKS
8.1	Would the potential outcomes of the project be sensitive or vulnerable to potential impacts of climate change?		
8.2	Is the proposed project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?		

V. Summary Note

(To be filled in after the Screening Checklist has been completed)

Name of the proposed project:	
Name and function of the submitter:	
Division/Branch/Unit of the submitter:	

Table I – Social and Environmental Screening Outcome

Select from the following:

High Risk (A)

The proposed project is likely to produce significant and/or irreversible adverse environmental and/or social impacts that are sensitive, diverse, or unprecedented. A full Social and Environmental Impact Assessment (SEIA) will need to be completed during the project technical design phase. This will need to include a Social and Environmental Management Plan (SEMP).

Moderate Risk (B)¹⁰

The proposed project is likely to have less adverse impacts on human populations or environmentally important areas than those of High Risk projects. Likely impacts will be few in number, site-specific, and few if any will be irreversible. A Social and Environmental Management Plan (SEMP) may need to be completed during Project inception and technical design phase.

¹⁰ For some donors (e.g. KfW) category B+ also exists

□ **Low Risk (C)**

The proposed project is likely to have minimal or no adverse social and/or environmental impacts, or sufficient social and review has already been conducted and social and environmental management recommendations have been incorporated into the project. No further specific environmental and/or social assessment is required during Project Formulation, although those with procurement components may still have potential environmental and social sustainability considerations. These should be addressed as part of the regular project design activities and through UNICEF's procurement processes, as applicable.

DRAFT

If the proposed project is **High Risk or Moderate Risk** please fill this table:

Table II – Social and Environmental Sustainability Issues and Next Steps

SES	Social and Environmental Issues*	Next Steps**
1. Labour and working conditions		
2. Resource efficiency and pollution prevention		
3. Community health, safety and security		
4. Displacement and resettlement		
5. Biodiversity conservation and sustainable management of natural resources		
6. Indigenous people		
7. Cultural heritage		
8. Climate change and disaster risks		

* In this section, you should list the key potential social and environmental issues raised by this project. This might include both social and environmental opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. This information will inform the development of TOR for SEIAs or SEMP.

** In this section, you should summarize how you intend to proceed with undertaking either SEIA (for High Risk projects) or SEMP (for Moderate Risk projects), during Project inception or technical design stage.

Submitted by (Project Developer):	
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Date:	
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