

**Headquarters, Copenhagen
25 August 2017**

**EXECUTIVE OFFICE INSTRUCTION REF. EOI.CSG.2017.01
IMPLEMENTATION OF THREE LEVELS OF REQUIREMENTS
FOR
HEALTH & SAFETY AND SOCIAL & ENVIRONMENTAL MANAGEMENT**

1. Authority:

- 1.1. This Executive Office Instruction (EOI) is promulgated by the Director, Corporate Support Group, on the basis of a delegation of authority from the Executive Director under EOD Ref. EOD.ED.2017.03 – Occupational Health & Safety and Social & Environmental Management of 13 March 2017.

2. Purpose:

- 2.1. The purpose of this EOI is to set out three levels of requirements for Health & Safety (H&S) and Social & Environmental (S&E, and together with H&S, HSSE) management for UNOPS projects and facilities.

3. Effective Date:

- 3.1. This EOI shall become effective **from 01 September 2017**.

[signature redacted]

Karsten Bloch
Director, Corporate Support Group

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1. Introduction:

- 1.1. Further to the Executive Director's affirmation of her commitment to Health & Safety and Social & Environmental management, as set out in EOD Ref. EOD.ED.2017.03, the purpose of this EOI is to set out three levels of requirements for H&S and S&E management for UNOPS projects and facilities, from UNOPS minimum and mandatory H&S and S&E requirements (Level 1) to UNOPS intermediary H&S and S&E requirements (Level 2), and external certification requirements (Level 3). Annex 1 shows a summary of the requirements for H&S and S&E Levels as is described in this EOI.
- 1.2. For all UNOPS standards, templates and other tools referred to in this EOI, please refer to the HSE HQ Team's intranet or contact the HSE HQ Team directly.

2. Social & Environmental Screening:

- 2.1. Except for projects limited to the provision of services in a transactional role only (e.g., human resources, procurement or financial transactional services), all new UNOPS projects shall undergo a Social & Environmental Screening (SES) at the pre-engagement phase in oneUNOPS.

3. H&S and S&E Levels:

- 3.1. The decision to apply H&S and S&E levels shall be made on a country by country basis, Level 1 being the minimum and mandatory level for all UNOPS projects and facilities.
- 3.2. Each level comprises of a combination of "general" and "site practice" requirements (see below).
- 3.3. A UNOPS site shall be defined as a physical space under UNOPS managerial control and where a UNOPS project is being implemented.
- 3.4. A UNOPS facility shall be defined as a UNOPS office, residence, warehouse or other facility under UNOPS managerial control.
- 3.5. Once a level has been selected for a given country, all UNOPS projects and facilities in the country in question shall comply with all "general" and "site practice" requirements of the level selected for the country, as relevant and applicable, unless stated otherwise in this EOI.
- 3.6. Where UNOPS shares control of a site or facilities with other entities, UNOPS shall not be bound by the requirement in this EOI but shall work with the entities to apply the requirements to the shared facilities.
- 3.7. Note that the H&S and S&E levels selected for a country do not have to be the same. For example, in one country it may be decided to apply H&S Level 1 but to apply S&E Level 2.

- 3.8. Similarly, for a high-risk project, it may be decided to apply a higher level than the level selected for the country in which the high-risk project is going to be implemented. This decision shall be made at the pre-engagement level in consultation with the HSE Manager at HQ.

4. Exceptions:

Transactional Services

- 4.1. If a project is limited to the provision of services only in a transactional role (e.g., human resources, procurement or financial transactional services), it shall be exempted from H&S and S&E requirements.

Advisory Services

- 4.2. If a project is limited to the provision of services in an advisory role (regardless of whether it is combined with transactional services or not), it shall be exempted from H&S and S&E requirements described in this EOI.
- 4.3. However, if the SES shows that the project in relation to which UNOPS will be providing advice may have moderate to high social and environmental risks and/or impacts, then UNOPS shall prepare a Sustainability Management Plan (SMP) and shall take the SMP into account when providing its advice. This shall be required for advisory services relating to project management, management services and infrastructure projects. However, this is only recommended (not mandatory) for advisory services relating to procurement, financial or human resources projects.

Implementation Services

- 4.4. All projects with the provision of services in an implementation role shall comply with the H&S “general” and “site” requirements of the H&S level applicable to the country in question, as applicable. However, provision of services in an implementation role relating to procurement, financial or human resources projects shall be exempt from H&S requirements. H&S exemption also applies to any project without a physical site.
- 4.5. If the project has been assessed during the SES as having minimal or no adverse social and environmental risks and/or impacts, it shall be exempted from the S&E “general” and “site” requirements of the S&E level applicable to the country in question.
- 4.6. However, if the project has a physical site, and has been assessed during the SES as having moderate or high social and environmental risks and/or impacts, it shall comply with the S&E “general” and “site” requirements of the S&E level applicable to the country in question. The project shall only be required to have a SMP if it does not have a physical site.
- 4.7. Annex II summarises the applicability and exemptions described in this section.

Ad-hoc Exception

- 4.8. If any of the requirements as set out in this EOI cannot be reasonably applied to a project or facility, then an ad-hoc exception shall be sought from the HSE Manager at HQ.
- 4.9. All ad-hoc exceptions shall be recorded by the HSE Manager at HQ for reporting purposes and with a view to improving this EOI, as may be required.

Emergencies or Unforeseen Changes

- 4.10. Emergencies or unforeseen changes of circumstances may also warrant a temporary change of level. This change shall be done in consultation with the HSE Manager at HQ.

5. Roles and Responsibilities:

- 5.1. The determination of which HSSE level to apply in a country shall be made by the Director of the Regional Office for the countries falling under his/her oversight or the UNOPS personnel with a delegation of authority from the Regional Director to do it for each of such countries (the Delegate(s)), and in consultation with the HSE Manager at HQ.
- 5.2. It shall then be the responsibility of the Regional Director or the Delegate to ensure that the selected H&S and S&E levels are being complied with in the country in question. This shall include appropriate communication and delegation of authority within the entire country team, from the Head of Programmes and the Head of Support Services to Project Managers and other relevant UNOPS personnel.
- 5.3. The Regional Offices shall report on an annual basis regarding the implementation of the H&S and S&E levels in the countries falling under their responsibility. This report shall be part of the annual results reporting process.
- 5.4. The HSE Manager shall:
 - provide advice and recommendations regarding the determination of the appropriate H&S and S&E levels to be applied at country level and to high-risk projects;
 - provide guidance and training to relevant UNOPS personnel;
 - periodically reassess and update the level requirements;¹ and,
 - monitor and maintain records of the levels of operations implemented in each country.

¹ Updates or revisions of the level requirements will be posted on HSE intranet site on a regular basis. It shall be the responsibility of the Regional Directors or the Delegates to ensure that they are operating on the basis of the latest level requirements.

6. UNOPS Minimum and Mandatory H&S and S&E Requirements (Level 1):

- 6.1. H&S and S&E levels 1 represent UNOPS minimum and mandatory standards that shall be applied to each UNOPS project and facility, as relevant and applicable. Then, on a country by country basis, it shall be decided whether to apply higher H&S and S&E levels to the UNOPS projects and facilities in the country in question.
- 6.2. For each UNOPS project and facility, The Regional Director or the Delegate(s) shall ensure that:

H&S “General” Requirements (Level 1)

- a Project H&S Management Plan – Short Format has been completed for sites;
- UNOPS H&S general and site requirements are communicated to contractors (contractors can then implement their own H&S system if deemed at least equivalent to UNOPS’s) and H&S communications with contractors in this regard are documented;
- main legal and compliance requirements for H&S in the country in question are identified and documented;
- risk assessments for H&S critical tasks at sites is done, including maintenance and construction works at UNOPS facilities;
- H&S induction and awareness raising are provided to all UNOPS personnel working on the project or at a UNOPS facility as part of the induction training that is offered to all new UNOPS personnel. For projects, this shall be done at the beginning of the project and on a regular basis as need be. For UNOPS facilities, this shall be done on a regular basis. As a minimum induction and awareness raising shall be done at least annually;
- H&S weekly site inspections are conducted, and findings of the inspections are recorded in written reports; facilities inspections are conducted as a minimum once a year, and findings are recorded in written reports;
- written procedures to be followed in case of emergency (e.g., evacuation procedures, first aid and medical services contact numbers) exist and are publicly available;
- H&S incidents occurring in both projects and facilities are being reported and addressed in accordance with the EOI on HSSE incident reporting;
- H&S reports are being completed and are available every three months at the time of the Quarterly Assurance Process, based on the findings of the weekly inspections; for facilities, the frequency of reports can be lower but no less than once every six months. These reports shall be available for the UNOPS Representative in the country and the HSE Manager at HQ to view.

H&S “Site Practice” Requirements (Level 1)

- access to UNOPS sites is controlled through appropriate fencing, site security, entry restriction; and that warning signs such as on Personal Protective Equipment (PPE) use are properly displayed;

- appropriate PPE is used for all persons on site, including for non-UNOPS personnel at all times;
- working platforms such as scaffolding follow UNOPS safe design and installation guidance; edge protection is implemented; safety harness and lifeline (or similar fall arrest/restraint system) are used where a safe platform with edge protection has not been provided; and openings/excavations are safely covered;
- engineering and administrative controls such as temporary works (e.g. detour), traffic calming structures (e.g. humps or dips), road signs, light signals, personnel, are used to manage traffic around project sites;
- emergency equipment (fire-fighting equipment, first aid equipment) and signage (evacuation plan, assembly points) are in place, as well as a reasonable number of trained personnel (designated firefighters & first aiders);
- all sites and facilities have free access to culturally and hygienically acceptable kitchen and toilet facilities in their proximity;
- facilities shall be suitable for access and use by disabled people;
- physical barriers or systems that prevent workers from getting in contact with moving parts of machinery, nip points, hot surfaces, etc. are being used; and,
- All these site practices are applied to construction sites and to maintenance works carried out at UNOPS facilities.

S&E “General” Requirements (Level 1)

- The SES is being conducted in accordance with section 2, above;
- a Project S&E Management Plan – Short Format is being completed for sites;
- UNOPS S&E general requirements are communicated to contractors (the contractors can implement their S&E system, if deemed at least equivalent to UNOPS’s). S&E communications with contractors are documented;
- main legal and compliance requirements on S&E in the country are identified and recorded;
- for projects, a description of how waste generated in the project will be managed has been prepared;
- for projects, a description of how gender mainstreaming will be addressed has been prepared;
- S&E induction and awareness raising is provided to all personnel working on the project or at the UNOPS facility. For projects this shall be done at the beginning of the project and on a regular basis as need be, including awareness of the UNOPS S&E policy principles. For UNOPS facilities, this shall be done on a regular basis. As a minimum induction and awareness raising shall be done at least annually;
- weekly S&E site inspections are being conducted, and the findings of the inspections are recorded in written reports; facilities inspections are conducted as a minimum once a year, and findings recorded in written reports;

- written procedures to be followed in case of emergency (e.g. evacuation procedures, spill containment) exist and are publicly available;
- S&E incidents occurring in both projects and facilities are being reported and addressed in accordance with the EOI on HSSE incident reporting;
- S&E reports are being completed every three months at the time of the Quarterly Assurance Process, based on the findings of the weekly inspections; for offices, the frequency of reports can be lower but no less than once every six months. These reports shall be available for the UNOPS Representative in the country and the HSE Manager at HQ to view.

S&E “Site Practices” Requirements (Level 1)

- UNOPS minimum standards on waste management, including the ban on open air burning of waste and on illegal/open dumping, are being complied with;
- UNOPS minimum standards for hazardous waste management and storage, including asbestos & oil-contaminated waste, are being complied with;
- all sites have available spill kits in proximity of oils/fuels storage to perform clean-ups as soon as possible;
- all sites provide secondary containment for containers and equipment using liquids that could be sources of pollutants, to collect the leaking liquids in case of failure;
- concrete washings are not being allowed to contaminate ground and water bodies by using techniques such as mixing cement on impermeable surfaces, using concrete washings ponds or similar techniques;
- UNOPS minimum requirements on borrow pits management are being complied with;
- due diligence on operations, suppliers and contractors to identify and minimise the risk of child labour and violation of human rights is being conducted;
- All these site practices are applied to maintenance and construction works carried at UNOPS facilities as well.

7. UNOPS Intermediary H&S and S&E Requirements (Level 2):

- 7.1. For countries more advanced, the Regional Director or the Delegate(s) may decide in consultation with the HSE Manager at HQ to apply a H&S and/or S&E Level 2. In this case, the Regional Director or the Delegate(s) shall ensure, in addition to the H&S and/or S&E level 1 requirements, that:

H&S “General” Requirements (Level 2)

- Project H&S Management Plan – Long format, has been completed, and regularly updated for sites (therefore the short format plan is not needed);

- relevant personnel is formally trained in H&S, and formal inductions are carried out for workers at project sites;
- country offices take part in the internal peer-to-peer review programme (that can take the form of either virtual or in-person review);
- when non-conformances are identified, these are formally recorded and corrected, and preventive actions are devised and implemented;
- UNOPS's "permit to work" system and related forms are used for controlling H&S high risk.

H&S "Site Practice" Requirements (Level 2)

- separation of pedestrians from mobile equipment within project sites is ensured;
- specific inspections are carried out for equipment such as ladders and scaffolding, and a tag system is implemented.

S&E "General" Requirements (Level 2)

- The full Project S&E Management Plan is completed and regularly updated for sites (therefore the short format plan is not needed);
- relevant personnel is formally trained in S&E, and formal inductions are carried out for workers at project sites;
- country offices take part in the internal peer-to-peer review programme (that can take the form of either virtual or in-person review);
- when non-conformances are identified, these are formally recorded and corrected, and preventive actions are devised and implemented;
- a waste management plan is developed, with monitoring data.

S&E "Site Practice" Requirements (Level 2)

- action is taken to increase rates of waste minimisation, segregation, reuse and recycling;
- material safety data sheets are required from suppliers for all hazardous chemicals and used to inform risk assessments;
- polluted water is treated according to UNOPS guidance on the protection of water (filtration systems, settlement tanks/ponds, etc.);
- land use is limited to the minimum necessary in order to fit the project needs, and impact on nearby services and communities is minimised.
- UNOPS guidance on preservation of historical, cultural and archaeological remains are being complied with;

- handling of contaminated materials is being done in accordance with UNOPS hazardous waste management guidance.

8. External Certification (OHSAS 18001 and ISO 14001) Requirements (Level 3):

8.1. For countries further advanced, the Regional Director or the Delegate(s) may decide in consultation with the HSSE HQ Team to apply a H&S and/or S&E Level 3. In this case, the Regional Director or the Delegate(s) shall ensure, in addition to the H&S and/or S&E level 1 and 2 requirements, that:

H&S “General” Requirements (Level 3)

- country offices complete the template “Office HSE Management Plan”;
- facilities inspections are conducted as a minimum twice a year, and findings recorded in written reports;
- projects and facilities set SMART H&S objectives and targets every year, and monitor progress on a quarterly basis;
- complaints/issues as well as questions, suggestions and other communication from stakeholders regarding H&S are formally filed and addressed;
- H&S documents and records are maintained and updated to match the requirements for OHSAS certification;
- country offices take part in the internal peer-to-peer review programme (in-person reviews of offices and sites);
- the country office participates in the external certification programme (OHSAS 18001).

H&S “Site Practice” Requirements (Level 3)

- for all safety-critical processes identified by the risk assessment (e.g. operating mobile equipment), relevant personnel have, or are trained and acquire, appropriate or required licensing/competence certificates;
- the energy and machinery isolation system is documented and visibly displayed;
- construction camps are built and inspected according to UNOPS applicable standards;
- increased level of inspections, job observations, on-the-job coaching, increased levels of supervision are applied for safety-critical tasks.

S&E “General” Requirements (Level 3)

- country offices complete the template “Office HSE Management Plan”;

- facilities inspections are conducted as a minimum twice a year, and findings recorded in written reports;
- projects and facilities set SMART S&E objectives and targets every year, and monitor progress on a quarterly basis;
- complaints/issues as well as questions, suggestions and other communication from stakeholders regarding S&E are formally filed and addressed;
- S&E documents and records are maintained and updated according to UNOPS guidance to match the requirements for external certification (ISO 14001);
- country offices take part in the internal peer-to-peer review programme (in-person reviews of offices and sites);
- sustainability criteria are used in procurement;
- projects and facilities include specific objectives and targets aimed at reducing greenhouse gas emissions;
- the country office participates in the external certification programme (ISO 14001).

S&E “Site Practice” Requirements (Level 3)

- projects address, the protection of sensitive ecosystems and habitats if present within the project footprint;
- UNOPS standards on water protection e.g. on erosion, siltation, flooding are being complied with;
- actions for the reduction of noise during construction, to protect personnel, visitors and local communities;
- infrastructure projects actively reduce dust during transportation of materials and during construction e.g. covering delivery trucks, watering down, especially in periods of dry weather;
- Projects and facilities actively address conservation of resources, e.g. energy, materials, water, etc.

Annex I – Summary Requirements for H&S and S&E Levels
H&S Requirements

			No.	GENERAL REQUIREMENTS
LEVEL 3	LEVEL 2	LEVEL 1	1	Project H&S Plan – Short format
			2	General & site requirements communicated to contractors
			3	Check for H&S legal and compliance requirements
			4	Risk assessments for critical tasks
			5	Regular H&S induction and awareness raising
			6	Weekly H&S site inspection reports
			7	Basic H&S emergency procedures in place
			8	Reporting and review of H&S incidents
			9	Quarterly H&S reporting to HSE
		10	Project H&S Plan – Long format	
		11	Formal H&S training and induction	
		12	Internal review programme (virtual/in-person)	
		13	Recording, correcting & preventing non-conformances	
		14	Permit to work system in place	
	15	Complete Office HSE Plan		
	16	Recorded facilities inspections twice a year		
	17	SMART H&S objectives and targets set yearly		
	18	Complaints and suggestions recorded and addressed		
	19	Documents and Records maintained up to date		
	20	Internal reviews of offices and sites (in-person)		
	21	Participation in external certification audits (OHSAS 18001)		
			No.	SITE PRACTICE REQUIREMENTS
LEVEL 3	LEVEL 2	LEVEL 1	1	Access control & warning signs
			2	Use of appropriate PPE for all persons on site
			3	Fall from heights prevention
			4	Traffic management at sites, particularly at road works
			5	Emergency preparedness (equipment, signage, personnel)
			6	Culturally and hygienically acceptable welfare facilities
			7	Suitable facilities for access and use by disabled people
			8	Mechanical guarding and other physical barriers
			9	Minimum requirements apply to maintenance and construction works at UNOPS facilities
	10	Prevent interaction of mobile equipment & people		
	11	Inspections and tag system in place		
	12	Personnel licensing for H&S critical work		
	13	Energy and machinery isolation system visibly displayed		
	14	Construction camp meets UNOPS standards		
	15	Increased level of control of safety-critical tasks		

S&E Requirements

			No.	GENERAL REQUIREMENTS	
LEVEL 3	LEVEL 2	LEVEL 1	1	S&E screening report	
			2	Project S&E Plan – Short format	
			3	General & site requirements communicated to contractors	
			4	Check for S&E legal and compliance requirements	
			5	Waste management approach	
			6	Gender mainstreaming approach	
			7	S&E management induction and awareness raising	
			8	Weekly site and annual facilities S&E inspection reports	
			9	Basic S&E emergency procedures	
			10	Reporting and review of S&E incidents	
			11	Quarterly S&E reporting	
				12	Project S&E Plan – Long format
				13	Formal S&E training and induction
				14	Internal review programme (virtual/in-person)
				15	Recording, correcting & preventing non-conformances
				16	Waste management plan with monitoring data
				17	Complete Office HSE Plan
				18	Recorded facilities inspections twice a year
				19	SMART S&E objectives & targets set yearly
				20	Complaints and suggestions recorded and addressed
				21	Documents and Records maintained up to date
				22	Internal reviews of offices and sites (in-person)
				23	Sustainability criteria used in procurement
				24	GHG emission reduction objectives and targets made
				25	Participation in external certification audits (ISO 14 001)
			No.	SITE PRACTICE REQUIREMENTS	
LEVEL 3	LEVEL 2	LEVEL 1	1	Minimum standards on waste management complied with	
			2	Minimum standards for hazardous waste complied with	
			3	Availability of spill kits/spill clean-up to limit pollution	
			4	Secondary containment of oils/fuels	
			5	Handling concrete washings to limit pollution	
			6	Minimum requirements on borrow pits management	
			7	Due diligence on child labour and human rights violations	
			8	Minimum requirements apply to maintenance and construction works at UNOPS facilities	
				9	Actions for waste minimisation, segregation, reuse or recycling
				10	Use of material safety data sheets (MSDS)
				11	Treatment of polluted water
				12	Limited land use and impact on services/communities
				13	Protection of historical, cultural & archaeological findings
				14	Handling contaminated waste materials
				15	Protection of sensitive ecosystems & habitats
				16	Protection of waterways
				17	Reduction of noise during construction
				18	Reduction of dust during transportation and construction
				19	Conservation of resources in projects and facilities

Annex II – Summary of Applicability and Exemptions

	ADVISORY (Medium or higher risk)		IMPLEMENTATION (Medium or higher risk)	
	SMP	ES	SMP	ES
Procurement	R	✘	R	✘
Financial	R	✘	R	✘
Human resources	R	✘	R	✘
Project management*	✓	✘	✘	✓
Management services*	✓	✘	✘	✓
Infrastructure*	✓	✘	✘	✓

* In this table, it is assumed that Implementation has sites. If there are no sites for these categories, SMP is mandatory but ES is not required.

Notes:

1. Tick (✓) means mandatory, ✘ means not required, R means recommended but not mandatory.
2. SMP refers to the Sustainability Management Plan, ES refers to the ES requirements in this EOI.