



MINISTRY OF AGRICULTURE ANIMAL INDUSTRY AND FISHERIES

UGANDA CLIMATE SMART AGRICULTURAL TRANSFORMATION PROJECT

GRIEVANCE REDRESS MECHANISM (GRM)

August 2024

Table Contents

LIST OF ACRONYMS AND ABREVIATIONS	v
1.0 INTRODUCTION	8
1.1. About UCSATP	8
1.2. THE UCSATP-GRIEVANCE REDRESS MECHANISM	9
1.3. Specific objectives of the GRM	10
2.0 LEGAL AND REGULATORY FRAMEWORK	10
2.1 Uganda's Legislative Framework	10
2.2. World Bank Safeguard Standards	10
2.3 Principles of Grievance Redress Mechanism	10
2.4 Implications for not having a GRM	11
3.0 CATEGORIES OF GRIEVANCES	11
3.1 Appeals	11
3.2 Complaints	12
3.3 Grievances Excluded from UCSATP-GRM	13
4.0 THE UCSATP GRM STRUCTURE AND COMPOSITION	20
4.1 National Grievance Redress Committee (NGRC)	20
4.2 District Grievance Redress Committee (DGRC)	20
4.3 Subcounty/ Settlement Grievance Redress Committee (SGRC)	21
4.4 Lower Level Grievance Redress Committees (GRC)	21
4.5 Roles and Responsibilities of Grievance Redress Committees	22
5.0 PROCEDURE FOR HANDLING GRIEVANCES	24
5.1 Receiving, Acknowledging and Recording Grievances	24
5.2 Sorting and categorization (Review)	25
5.3 Detailed analysis/ Investigation/Verification and resolution	26
5.4 Options for settling complaints	27
5.5 Resolve and Close	27
6.0 IMPLEMENTATION AND AWARENESS CREATION	28
6.1 Disclosure of the GRM	28
6.2 Setting up GRM structures	29
6.3 Grievance prevention	29
6.4 Track, document, evaluate and report results	29
	30
6.5 Timelines for grievance handling	30
7.0 WORKERS' GRIEVANCE REDRESS MECHANISM	31
7.1 Examples of employee grievances in the workplace	31
7.2 Rights and Responsibilities	33
7.3 Workers Grievance Redress Procedure	33
8.0 GRIEVANCE REDRESS MANAGEMENT PLAN (GRMP)	35
8.1 Management Functions and Responsibilities	35
8.2 Resources	36
9.0 GRM MITIGATION AND MONITORING COMMITMENT REGISTER	37
10.0 GRM REPORTING	42
10.1 Monitoring	42
11. Sustainability	43
12.0 ANNEXES	44
ANNEX 1: UCSATP Grievance / Complaints Registration and Closure Form/ Referral (Template)	44
10.2 ANNEX 2: UCSATP Workers Grievance / Complaints Registration Form (Template)	46
10.3 ANNEX 3: UCSATP Grievance Log Register	48
10.4 ANNEX 4: Sample Grievance Registration Form for SEA/GBV	48
10.5 ANNEX 5: Monthly Grievance report format (Template)	50
10.6 ANNEX 6: Minute of Meeting (Template)	53
10.7 ANNEX 7: UCSATP Engagement Attendance Template	55
10.8 ANNEX 8: UCSATP Community Engagement Attendance Template	57
10.9 ANNEX 9: UCSATP GRC Training Attendance Template	58
10.10 ANNEX 10: Climate Smart Social Instructions Templet	60
10.11 ANNEX 11: GRC Terms of Reference	62

LIST OF TABLES

Table 3-1: UCSATP Grievance categorisation	Error! Bookmark not defined.
Table 5-1: Roles and responsibilities of GRCs	Error! Bookmark not defined.
Table 9-9-1: Referral pathways for GBV, SEA, VAC	Error! Bookmark not defined.
Table 10-1: <i>Roles and responsibilities of stakeholders</i>	35
<i>Table 11-11-1:Grievance Redress Management Plan Mitigation and Monitoring Commitment Register (MMCR)</i>	37

LIST OF FIGURES

Figure 1-1: Links between the GRMP and the wider CSATP Safeguard documents	Error! Bookmark not defined.
Figure 8-1: Process of resolving GBV/ SEA complaints	Error! Bookmark not defined.

LIST OF ACRONYMS AND ABREVIATIONS

ACHPR	African Chapter on Human and Peoples' Rights
CBO	Community Based Organizations
CDO	Community Development Officer
COVID-19	Corona Virus Disease-19
CSA	Climate Smart Agriculture
DARST	District Adaptive Research Support Teams
ESIA	Environmental and Social Impact Assessment
ESF	Environmental Social Framework
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Standards
FPI	Free, Prior and Informed
GBV	Gender Based Violence
GHGs	Greenhouse gases
GoU	Government of Uganda
IAP2	International Association of Public Participation
ICT	Information Communication Technology
KPIs	Key Performance Indicators
LIPWs	Labor Intensive Public Works
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MDAs	Ministries, Departments and Agencies of Government
MIS	Market Information Services
MoFPED	Ministry of Finance, Planning and Economic Development
MoGLSD	Ministry of Gender, Labor and Social Development
MRVs	Monitoring Reporting and Verification
MoTIC	Ministry of Trade, Industry and Cooperatives
MoWE	Ministry of Water and Environment
NARO	National Agricultural Research Organization
NARS	National Agricultural Research System
NGO	Non-Government Organization
PDO	Project Development Objective
PES	Payment for Environmental Services
PIM	Project Implementation Manual
SE	Sexual Exploitation

SEF	Stakeholder Engagement Framework
SH	Sexual Harassment
UCSATP	Uganda Climate Smart Agriculture Transformation Project
UNMA	Uganda National Meteorological Authority
TIMPs	Technologies, Innovations and Management Practices
WHO	World Health Organization
VMPF	Vulnerable Marginalized People Framework
VSLA	Village Savings and Loan Associations
ZARDIs	Zonal Agricultural Research and Development Institutes

Glossary of Terms

Definition of a grievance: This refers to a complaint, a feeling of dissatisfaction, an injustice, a wrong doing, an accusation, or criticism that an individual, farmer groups, communities, contractors, service providers or project stakeholders may have or experience. A grievance may be mistaken to be “a case”, however, the two concepts are different. A case is a question contested before Courts of justice or an equivalent legal process.

Complaints handling: Procedure of receiving and addressing grievances

Complaints logbook: A bounded document with set of forms for receiving, recording complaints from complainants

Description of complainant: A brief description of the grievance that has been received

Focal Person: Officer appointed to handle a special task of Environment and Social Safeguards and grievance Redress mechanism

Grievance Redress Mechanism: A set of structure, procedure by which complaints, queries or clarifications about the project are responded to, problems that arise out of implementation are resolved and grievances addressed

Grievance Redress Committee: Members of the community selected because of their known knowledge or position to address grievances

Project Affected Person : A person, organization, group or association that is affected by project intervention

Mode of receipt: how the complaint was received, could be telephone, SMS, email, written, in person

Nature of complaint: includes fraud, land disputes, compensation, environment and social issues, service delivery, facilities, management etc.

Reference number: a unique number assigned to the complaint for easy tracking and follow-up

1.0 INTRODUCTION

1.1. About UCSATP

The purpose of this Grievance Redress Mechanism (GRM)/ management Plan is to provide an effective avenue for expressing concerns and achieving remedies for communities, promote a mutually constructive relationship and enhance the achievement of Project development objectives . GRM will outline how project Grievances will be identified, received, responded to, by when/whom and how stakeholders will be involved in the monitoring of the project. For many years open dialogue and collaborative grievance resolution simply represents good business practice both in managing social and environmental risks and in furthering Project and community development objectives.

The Uganda Climate-Smart Agricultural Transformation Project (UCSATP) is a six (6) year Government of Uganda (GoU) Project being implemented by the Ministry of Agriculture Animal Industry and Fisheries (MAAIF). It focuses on tackling poverty and mitigating the impacts of land degradation, aiming to achieve the triple goal of increasing sustained production and productivity, reducing greenhouse gas emissions, and increasing adaptation and resilience of communities to climate change. The project is being implemented in 69 project districts of which 7 are Refugee Hosting Districts in 13 agroecological zones.

The project beneficiaries include; farmers (crop, livestock, and fish), pastoralists; forest users; farmer groups, cooperatives and associations refugees and their hosting communities. The project will also target poor and vulnerable households as well as marginalized groups such as youth, women and indigenous communities. Other key stakeholders involved in the project implementation such as ,contractors, suppliers, institutions, and service providers.

The project development objective (PDO) is to increase productivity, market access, and resilience of select value chains in the project area and to respond promptly and effectively to an eligible crisis or emergency. This PDO is to be achieved through these five (5) components:(i) Strengthening Climate Smart Agricultural Research, Seed and Agro-Climatic Information Systems; (ii) Promoting Adoption of Climate Smart Agricultural Technologies and Practices; (iii) Investments in Market Development and Linkages to Selected Value Chains; (iv) Contingency Emergency Response, and (v) Project Coordination, Management, Monitoring, Evaluation and Learning.

During implementation, the project incorporates environmental and social safeguards through adoption, promotion and implementation of efficient environmental and social strategies and management methods to ensure sustainability of its investments. More emphasis is placed on advocacy for social inclusion and equal participation of all persons.

The project will develop Grievance Redress Mechanism that will provide a clear, transparent and credible process to all stakeholders for fair, and equitable resolutions of grievances raised.

1.2. THE UCSATP-GRIEVANCE REDRESS MECHANISM

The UCSATP-GRM aims to provide a fair, legitimate, reliable, and cost-effective redress procedure to enable Project workforce, PAPs and other interested parties present their grievances and find satisfactory resolutions. It is a critical tool for promoting transparency and accountability in accordance with the national legislations and World Bank guidelines.

The GRM is an inclusive and participatory mechanism that is aimed at facilitating communication between conflicting parties, promoting dialogue, and facilitating a reasonable agreement using existing Grievance Redress Committees.

The GRM is designed to contribute to conflict detection, prevention and resolution, as well as the transformation of the grievances into peaceful co-existence and community cohesion throughout project implementation period. It is intended to complement, not replace, formal legal channels for managing grievances (e.g. the court system, organizational audit mechanisms, etc.).

Over-all, the GRM will provide the following benefits to the project and affected persons, among others:

To the Project	<ul style="list-style-type: none"> • Timely execution of project interventions in a transparent way without interference; • Through the settlement of conflicts, a relationship of trust between the Project and its beneficiaries is established • Minimises fraud • Promotes timely accountability and reporting • Promotes efficient resolution of project associated problems and challenges and prevents further escalation to other levels; • To limit the negative potential impacts and to work out appropriate pre-emptive and correcting measures
To the Project beneficiaries (Project Workers + Community)	<ul style="list-style-type: none"> • Establish a forum and a body to voice the complaints • Provides access to a transparent system for complaints settlement • Facilitates information access • Provides the beneficiaries with a reliable tool to challenge an action or program already implemented by the project • Improves the services and optimize the satisfaction of the beneficiaries

1.3. Specific objectives of the GRM

The main objective is to detect and prevent the grievances before they occur, and mitigate their consequences when they occur, as well as prevent them from escalating. The Specific objectives are:

- 1) To receive and resolve project related grievances in a timely, appropriate and efficient manner;
- 2) To build trust among project staff and other stakeholders.
- 3) To promote community empowerment and participation in project decisions that affect them; and
- 4) To provide feedback mechanisms to project affected persons on resolution of their complaints.

2.0 LEGAL AND REGULATORY FRAMEWORK

2.1 Uganda's Legislative Framework

The GRM shall be consistent with both national and World Bank standards and policies; National legislations and regulations that are applicable to the UCSATP include National Environmental Act (2019), The Agricultural Chemicals (Control) Act, No. 1 Of 2006, The Local Governments Act, Cap 243, The Refugees Act 2006, The Water Act, Cap 152, 1997, The Land Acquisition Act Cap 226; Occupational Health and Safety Act 2006; The Employment Act 2006; The Labour Unions Act 2006; The Labour Disputes Act, 2006, The National (Environmental and Social Assessment) Regulations, 2020, The National Environment (Waste Management) Regulations, 2020, The Employment Regulations, The Employment (Employment of Children) Regulations, 2012 and The Employment (Sexual Harassment) Regulations, 2012 among others. Relevant national policies include Uganda Climate Change Policies, Uganda Gender Policy, National Policy for the Conservation and Management of Wetland Resources, 1995, The National Environmental Management Policy, 1994, The National Climate Change Policy (NCCP), 2013, The National Fisheries Policy, 2004, and The National Policy for Disaster Preparedness and Management October 2010 among others.

2.2. World Bank Safeguard Standards

With regards to World Bank safeguard requirements, the following ten Environmental and Social Standards (ESS) under the Environment and Social Framework (ESF) apply to the project;

- a. ESS1: Assessment and Management of Environmental and Social Risks and Impacts
- b. ESS2 Labour and Working Conditions
- c. ESS3 Resource Efficiency and Pollution Prevention and Management
- d. ESS4 Community Health and Safety
- e. ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement
- f. ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources
- g. ESS7 Indigenous Peoples/Sub Saharan African Historically Underserved Traditional Local Communities
- h. ESS8 Cultural Heritage
- i. ESS10 Stakeholder Engagement and Information Disclosure.

2.3 Principles of Grievance Redress Mechanism

The GRM has been designed according to the following eight internationally accepted principles for the design of GRM.

- 1) **Accessibility** – provides adequate assistance to those who wish to access it, including specific groups such as children, women and the disabled accessibility needs to take into consideration language, literacy, awareness, finance, distance or fear of reprisal.
- 2) **Predictability** – offers a clear and known procedure, with timeframes for each stage, clarity on the types of processes and outcomes it can and cannot offer, and means of monitoring the implementation of any outcome.
- 3) **Fairness** – all decisions shall be perceived as fair and objective especially in terms of access to information and opportunities for meaningful participation in the final decision
- 4) **Rights compatibility** – it is with applicable national and international standards; should not restrict access to other redress mechanisms
- 5) **Transparency** – procedures and outcomes or decisions shall be made public and in a transparent manner while exercising independence and impartiality among stakeholders
- 6) **Capability** – shall have required technical, human and financial resources to deal with issues at stake
- 7) **Documentation and Feedback** – Should serve to channel citizen feedback to improve project outcomes for the people including project stakeholders through existing structures.
- 8) **Legitimate**: has clear, transparent, and sufficiently independent governance structure to ensure that there is no bias or interference and the process can be conducted fairly with respect to all parties
- 9) **Human rights based approach**: shall be non-discriminatory, and ensure meaningful and inclusive participation and access to decision making of all stakeholders.
- 10) **Confidentiality and responsiveness**: all grievances shall be handled in a manner that exercises anonymity of all processes and procedures;

2.4 Implications for not having a GRM

The consequences are numerous and adverse including inability to register and build on positive feedback. The Project Affected Persons (PAPs) and beneficiaries may seek redress/ resolution from judicial or administrative systems which are cumbersome or inappropriate to addressing project triggered grievances because they tend to be hostile or foment violent behavior towards the project or waste time and resources, derail benefits and possibly cause high cost overruns, deprive people's right to be heard in a just and fair manner, or cause adverse impacts on people and the environment which could lead to a risk of possible suspension or cancellation of the project.

3.0 CATEGORIES OF GRIEVANCES

Any person or group of persons affected by or in the process of implementation of UCSATP can report a grievance(s) regarding the people or the environment before, during or after implementation of activities. The grievances under UCSATP have been classified into two categories, which are appeals and complaints.

3.1 Appeals

These are of two types namely; targeting process related to appeals. The unresolved and forwarded issues by lower level structures arises when a complainant is not satisfied with the resolutions and therefore requests for appeal to the upper structures and those related to beneficiary targeting process.

A. Targeting process related appeals

These may occur when:

- i. A member of the community perceives themselves as meeting the criteria for entry into the project but is not enrolled (exclusion errors) and
- ii. A community member believes that some of those enrolled do not satisfy the criteria for enrolment into the programme (inclusion errors)

Targeting of beneficiaries in the UCSATP will follow a participatory approach involving host farmers, farmers organised and registered as farmer groups or cooperatives in respect of the value chains. The Labour Intensive Public Works beneficiary selection process will follow household targeting approach which involves mobilisation of willing and able bodied household members. All eligible beneficiaries are mapped through consultative meetings and enrolled to benefit from community interventions. All beneficiaries will be registered using their National Identification Number (NIN). While those who don't have NIN will present a valid recommendation letter from LC 1 in the area of jurisdiction or attestation card numbers for refugees.

Appeals shall arise from eligibility criteria for the project from issues as exclusion from participating in project interventions, vulnerable and marginalised category, residents and beneficiaries receiving support from various government programmes, among others.

B. Unresolved and forwarded issues (appeals)

In situations, where the complainant is not satisfied with the resolution by the respective GRC, the responsible GRC must inform the aggrieved party of the right to appeal to the higher GRC with reasons for non-acceptance. In such a scenario, referral form (see Annex 1) will be issued with details of the previous resolution process and reasons for referral.

3.2 Complaints

Complaints may be related to one of the following;

- Land (access and/or acquisition): temporary or permanent problems related to the use of land or property. Examples: disagreement about property value and appraisal, disclosures, complaints regarding problems in identifying land owners, trespassing on property.
- Livelihoods (economic loss): temporary or permanent problems related to the damage and/or failure to restore the livelihoods of impacted stakeholders. Examples: damage to crops or fisheries, impacts on business, including infrastructure.
- Employment: Complaints about hiring/recruitment process (perceived discrimination in selecting workers), payment/renumeration and unfair dismissal.
- Environment and health: These include channeling of water runoff into community households/farms, noise pollution, dust husks being blown to households, unhygienic working

environment, exposure to hazardous substances, contamination of drinking water among others

- Safety: all issues tied to the impact of the Project's activities on the safety of stakeholders. Examples: misuse of vehicles, occupational hazards, traffic accident among others.
- Social conduct and security: Complaints related to the behaviour of the Project's staff, service providers among other stakeholders. Examples: disrespectful behaviour towards members of the community, GBV/VAC, threats, physical abuse and political interference.
- Cultural Heritage: temporary or permanent problems related to an impact on a site of cultural value. Examples: destruction of graves, trespassing on a sacred site, damage to assets of historical value.
- Stakeholder Engagement: Complaints as a result of a lack of stakeholder consultation or a general lack of information disclosure. Example: Grievances about activities being carried out in a locality without the local leaders having been notified.

N.B. Criminal cases and sexual harassment/ defilement/ rape will not be handled by the GRCs or Sociologists. These are criminal cases which should be reported to Criminal Investigations Department of the Uganda police for indepth investigations and follow up

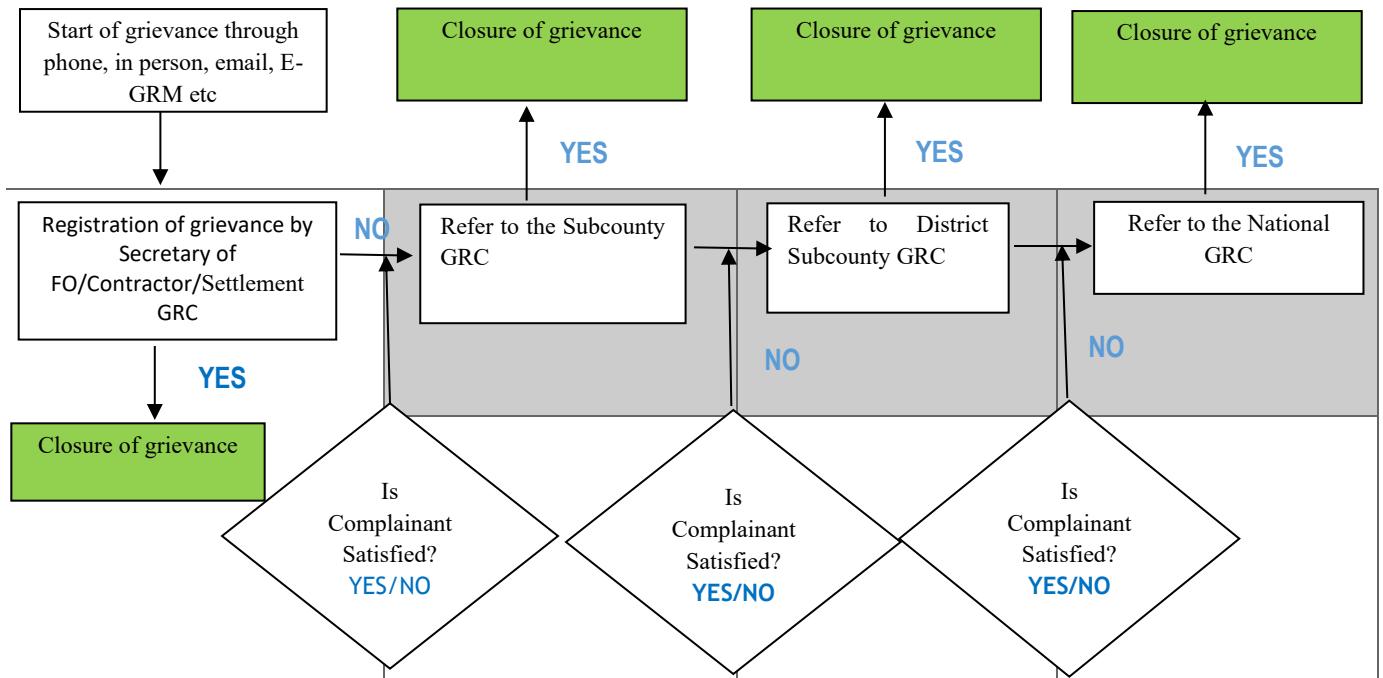
3.3 Grievances Excluded from UCSATP-GRM

There are no restrictions on the type of grievance a complainant can raise under this GRM. Grievances that are received and fall under any of the following categories, shall not be processed under UCSATP-GRM.

- Grievances from Project's employees regarding their contract or work conditions are covered by specific procedures set up in the Human Resource Manual.
- Grievances of a commercial nature made by partners or suppliers of goods and services are forwarded to the Project entities in charge of relations with these third parties (Contract & Procurement department);
- Grievances already introduced in a court of law;;
- Complaints from Members of Parliament or Ministry officials are forwarded to the Permanent Secretary.
- Complaints related to ethics and integrity, allegations of bribery and/or corruption, malicious, frivolous and/or fraudulent grievances for purposes of gaining competitive advantage, shall be forwarded through the MAAIF Project Coordinator to Permanent Secretary
- Grievances regarding projects or programmes which are not related to UCSATP.
- Grievance regarding project intervention where more than one year has elapsed from the date of project closure;
- Grievances regarding matters already concluded/closed by the GRC, unless the complainant has submitted new material information that was unavailable at the time the matter was previously considered by the GRC.

- In the refugee settlements, the grievances arising from private land transaction between the refugees farmers and the Landlords in host community shall be excluded

The Process Flow Chart of Grievance Redress Mechanism



Source: UCSATP Stakeholder Engagement Framework, 2024.

3.4 Potential causes and nature of grievances

The table below gives examples of grievances, their causes and mitigation measures in respect of the project components;

Component 1; Strengthening Climate Smart Agricultural Research, Seed and Agro-Climatic Information Systems		
Potential Grievance	Potential Causes	Proposed Mitigation Measure
• Academic Research related; unfair selection and awards criteria,	• Non adherence to the selection criteria.	• Adherence to the selection criteria • Awareness creation • Independent awards panel
• Delays in payment of the research grant,	• Bureaucratic process • Delayed accountability, non payment of students and supervisor • Greed and corruption.	• Continuous follow up of workplan and timelines • Timely accountabilities
• Research topic not aligned to PDO	• Failure to follow agreed guidelines.	• Adequate stakeholder consultations • Provision of Project documents
• Completion of the research not matching the project lifetime,	• Poor dedication of student and supervisor • Delayed release of funds	• Enhance dedication of student and supervisor
• Unwillingness of control groups to participate in research (e.g they feel left out in benefiting from TIMPs)	Limited awareness of research objectives and methodology	• Have incentives to be given to control group • Adequate awareness
• The existing technologies rolled out to unsuitable regions and landscapes e.g terraces being applied to flat terrain;	• Failure to carry out adaptive trials in different agro-ecological zones	• Undertake adequate needs assessment • Conduct adaptive trials in different agro-ecological zones
• Abuse of intellectual property rights	Poor enforcement of regulations	Enforce regulations
• Poor quality varieties and breeds,	• Limited inspection and enforcement • Accessing seed from uncertified sources	• Strengthen inspections and enforcement • Undertake seed viability tests

		<ul style="list-style-type: none"> • Acquire seed from certified sources
<ul style="list-style-type: none"> • Conflicts in accessing shared technologies 	<ul style="list-style-type: none"> • Unclear guidelines on accessing technologies • Low awareness on guidelines • Unhealthy competition between members 	<ul style="list-style-type: none"> • Issue guidelines on accessing shared technologies
<ul style="list-style-type: none"> • Low acceptability and adoption by community and beneficiaries. 	<ul style="list-style-type: none"> • Poor farmer management practices, • Poor environment and landscapes, • Inadequate needs assessment and mismatch in farmer expectations, • Limited feedback to communities • Limited awareness 	<ul style="list-style-type: none"> • Breeds and varieties that are adoptable. • Encourage farmers to use climate smart agricultural practices • Disseminate research findings • Create awareness in communities
<ul style="list-style-type: none"> • Unreliable, untimely weather forecasts. 	<ul style="list-style-type: none"> • UNMA; Obsolete or lack of modern equipments, • Limited distribution of weather station • Limited outreach of weather information 	<ul style="list-style-type: none"> • Procure and install modern weather equipments • Increase density of distribution of weather stations • Enhance capacity building
<ul style="list-style-type: none"> • Uninterpretable weather information 	<ul style="list-style-type: none"> • Limited technical capacity of meteorologists • Poor choice of mode of communication, • Limited consultations from the Public Agricultural Institute(PARI-Makerere, MAAIF, NARO) etc • Adoptive research; • Low acceptability and adoption : culture, poor yields, sophisticated technologies viza viz user friendly approach. 	<ul style="list-style-type: none"> • Capacity building • Use appropriate communication channels

Component 2: Promoting Adoption of Climate Smart Agriculture Technologies and Practices;

• Failure of inputs to perform	• Substandard inputs supplied • Inputs not used rightly • Inputs not stored properly	• Carry out enforcement • Procure inputs from certified sources • Carry out awareness campaigns
• Limited access to land for production	• Non Ownership of land	• Carry out awareness raising campaigns
• Unequal participation/discrimination in the selection of enterprise	• Non adherence to the selection criteria.	• Adherence to the selection criteria • Awareness creation • Independent awards panel
• Lack of access to land on the basis of gender, and other vulnerability	• Cultural barriers • Vulnerability factors	• Map out such people • Carry out the advocacy • Map out other available opportunities • Establish linkages to the available opportunities
• Poor management of waste	• Lack of waste management plans	• Prepare/ disseminate waste management plans • Enforce waste management guidelines

Component 3:Market Development and Linkages to Selected Value Chains

Potential Grievance	Potential Cause	Mitigation Measure
• Land conflicts	• Unfair boundaries and ownership • Low stakeholder participation in identification of sites • Lack of land deeds	• Disseminate land agreement/consent form with clear terms and conditions on utilisation and or sharing of benefits • Encourage Farmers or district to obtain or provide proof of land ownership documents
• Delay in accessing machinery and tools	• Unclear accounting guidelines	• Clear accountability guidelines
• Failure of farmer organisation to co-fund	• Low remittance of members' co-funding or • Poor saving culture	• Promote linkage to financial institutions, funding partners • Promote Public private partnership • Promote savings culture among members • Phase co-funding
• Delivery of substandard machinery or equipment	• Non adherence to specifications	• Strengthen contract management of machine

	<ul style="list-style-type: none"> • Poor verification by district and MAAIF of delivery of machinery • FO refusal to adhere to technical advice • Abuse of procurement procedure 	
• Non-compliance to structural designs	<ul style="list-style-type: none"> • Non adherence to specifications • Poor verification of delivery of machinery • FO refusal to adhere to technical advice • Abuse of procurement procedure 	<ul style="list-style-type: none"> • Define proper specifications • Build the technical capacity of the implementers
• Culverts leading storm water to community farms and households	<ul style="list-style-type: none"> • Poor implementation of the engineering designs 	<ul style="list-style-type: none"> • Proper sighting of culvert installations
• Workers grievances	<ul style="list-style-type: none"> • Non-payment of workers wages • Unfair working conditions 	<ul style="list-style-type: none"> • Enforce contractual obligations, Code of conduct

Component 5: Project Management, Coordination and Implementation

Grievance	Causes	Mitigation
• Procurement delays	<ul style="list-style-type: none"> • Lengthy bureaucratic processes 	<ul style="list-style-type: none"> • Initiate procurements in time • Followup on the progress of submitted procurements to establish areas of delay and have them addressed • Proper specs and market research
• Delayed release of funds	<ul style="list-style-type: none"> • Lengthy bureaucratic processes 	<ul style="list-style-type: none"> • Early planning,budgeting and reporting • Initiate payment requests early
• Conflicting roles and responsibilities	<ul style="list-style-type: none"> • Poor communications and coordination • Lack of clear terms of reference • Limited teamwork 	<ul style="list-style-type: none"> • Develop and implement stakeholder engagement plan • Clearly define terms of reference, roles and responsibilities

<ul style="list-style-type: none"> • Non-submission and late submission of accountabilities 	<ul style="list-style-type: none"> • Delays in implementation of workplans, activities • Delays in release of funds 	<ul style="list-style-type: none"> • Timely reimbursement and release of funds for activities • Timely implementation of workplans, activities
<ul style="list-style-type: none"> • Limited facilitation of project implementation teams • Poor motivation 	<ul style="list-style-type: none"> • Inadequate funds • Logistical challenges 	<ul style="list-style-type: none"> • Budget discipline and monitoring • Organize retreats
<ul style="list-style-type: none"> • Limited knowledge on CSA 	<ul style="list-style-type: none"> • Lack of capacity on the CSA project 	<ul style="list-style-type: none"> • Capacity building on CSA • Routine team retreats • Short capacity building courses

Potential causes

There can be several causes of grievances at a project. Here are some common factors that can contribute to grievances:

- **Communication issues:** Poor communication or lack of effective communication channels can lead to misunderstandings, misinterpretations, and conflicts within a project area.
- **Unclear expectations:** When project goals, roles, responsibilities, and expectations are not clearly defined, it can create confusion and frustration among team members, leading to grievances.
- **Inadequate resources:** Insufficient resources such as time, budget, manpower, or tools can put excessive pressure on team members, affecting their performance and causing dissatisfaction.
- **Unfair treatment:** Perceived favoritism, bias, or unequal distribution of work, rewards, or recognition can breed resentment and grievances within a project team.
- **Lack of support:** If team members feel unsupported by project leaders or colleagues, it can lead to feelings of isolation, dissatisfaction, and grievances.
- **Poor leadership:** Ineffective or autocratic leadership styles, lack of transparency, or micromanagement can create a negative work environment and contribute to grievances.
- **Conflicting priorities:** When team members have conflicting priorities or conflicting goals, it can lead to disagreements, competition, and grievances.
- **Lack of skill or expertise:** If team members lack the necessary skills or expertise to perform their tasks effectively, it can cause frustration and grievances
- **Workload imbalance:** When work is unevenly distributed among team members, with some shouldering a disproportionate amount of the workload, it can lead to grievances and feelings of unfairness.

- **Cultural or personality clashes:** Differences in cultural backgrounds, working styles, or personalities can create conflicts and grievances within a diverse project team

Project managers and team leaders need to be aware of these potential causes of grievances and take proactive measures to address them. Encouraging open communication, clarifying expectations, providing adequate resources and support, promoting a fair and inclusive work environment, and fostering teamwork can help mitigate grievances and improve project outcomes.

4.0 THE UCSATP GRM STRUCTURE AND COMPOSITION

The GRM will be grounded on existing local dispute management models/mechanisms that will involve the local leaders and technical staff in providing a forum for listening to, and resolving grievances. The GRM will be spearheaded by Grievances Redress Committees (GRC) established at appropriate levels.

The Composition of the GRC will take into consideration the value chain technical competencies of the GRC members at all levels to receive and resolve grievances. The members shall be formally assigned responsibility to work with the respective committees. In choosing the members, consideration shall be given to the diverse stakeholder interests in the participating project areas and ensure a third of membership are women. The GRCs shall co-opt members to the respective committees as and when the need arises.

It is expected that all grievances shall be received and resolved at the respective levels. Incase of non resolution, the grievances shall be referred to next level for further management.

There will be a Seven level GRC Structure namely National Grievance Redress Committee, District Grievance Redress Committee, Subcounty/ Settlement Grievance Redress Committee, Farmer Organisation Grievance Redress Committee, Workers' Grievance Redress Committee, Vulnerable and Marginalised Grievance Redress Committee, and Water User Association.

4.1 National Grievance Redress Committee (NGRC)

The NPCU Safeguards team shall manage the E-GRM system at the National Level. The NGRC shall be comprised of Project Coordinator (chairperson,) Senior Social Development officer (Secretary), SEHSO, SSLM, and Senior Communication and Knowledge Management Officer. The safeguards team shall ensure all complaints directed to national level from implementers and or beneficiaries or other stakeholders are resolved by the relevant value chain teams. The team shall track all complaints or grievances and ensure they are resolved and closed. Other members of the project implementation teams shall be co-opted as ex-official depending on their expertise or speciality relevant to the complaint or grievance being reviewed. Refer to table 1 for detailed roles and responsibilities.

4.2 District Grievance Redress Committee (DGRC)

This will be established to deal with any grievances referred from the sub county levels or reported directly to the DGRC. The GRC at the district will at a minimum comprise of 7 members;

- Chief Administrative Officer (the Chairman),
- District Community Development Officer (DCDO) (Secretary)

- iii. District Lands Officer (DLO),
- iv. Project District Focal Person Officer,
- v. District Natural Resource Officer (DNRO)
- vi. District Environment Officer
- vii. District Labour Officer
- viii. Representative of CSO/Refugee as an ex-official.

Other members shall be co-opted such as ex-official depending on their expertise or specialist relevant to the complaint or grievance being reviewed. Refer to table 1 or detailed roles and responsibilities.

4.3 Subcounty/ Settlement Grievance Redress Committee (SGRC)

Subcounty Grievance Redress Committee (SGRC)

The SGRC will handle grievances referred from Farmer Organisation GRC, Workers GRC, Vulnerable and Marginalised Grievance Redress Committee, and Water User Association before escalating unresolved grievances to DGRC and/or NGRC. It will comprise minimum 5 members including;

- i. LC 111 Chairperson (The chair, GRC),
- ii. Sub county Community Development Officer (Secretary),
- iii. Sub County chief,
- iv. NGO/CBO representative and
- v. A representative of vulnerable groups (women etc.) as members.

Settlement Grievance Redress Committee (SGRC)

The SGRC will handle grievances referred from refugees before escalating unresolved grievances to DGRC and/or NGRC.

Refugee Settlements GRC – this committee will be governed by Uganda Refugee protection policy. The committee will comprise of minimum 5 members namely the Settlement Commandant (Chairperson), Assistant Community Services Officer (Secretary), Community Based Facilitator (CBF), Refugee Welfare Councils III, Woman Refugee representative.

4.4 Lower Level Grievance Redress Committees (GRC)

These will be lowest unit upon which all grievances will be channeled and handled before escalating unresolved grievances to higher levels – Sub County, and District Grievance Committees. These include:

- i. **Farmer Organisation GRC** - the selection or election of these committee members shall be as guided by the group constitution and selected democratically by members;
- ii. **Workers GRC** – selection or election of committee members will be done democratically by workers;
- iii. **Vulnerable and Marginalised Grievance Redress Committee;**

Among the project beneficiaries shall be vulnerable and marginalized person located in the project districts. These shall include the Benets in (Kween and Bukwo) District in Elgon sub-region, the Batwa (Bundibugyo, Kabale, Kisoro and Rukungiri) in South western region, the Iks (Kaabong) and the Tepet (Moroto, Nakapiripirit and Napak) in the Karamoja sub-region. Additionally, nature of the location and displacement communities in the entire Karamoja region and refugees in 7 refugee hosting district

qualify to be vulnerable and marginalized communities. These communities have uniqueness in terms of culture, norms, practices and governance structure that often excludes them from being adequately consulted and participating in project implementation. Therefore, GRM will follow the established structures for resolution for emerging project related grievances which will be strengthened.

iv. Project User Associations

These will be responsible for use, operation, maintenance and management of various infrastructure projects such as; a) water resource associated with the water infrastructure/facilities such as; fish ponds, deep wells, valley tanks, irrigation schemes and dams, b) Road choke infrastructure, c) Market infrastructure, d) Livestock infrastructure etc.

These lower level GRC will comprise of minimum 5 members of which 30% of the Executive positions shall be women. The proposed membership shall include;

- I. Chairperson,
- II. Secretary,
- III. 2 members
- IV. Representative of the youth
- V. Representative of Vulnerable and marginalized persons as an ex-official

NB: Executive members of the Lower Grievance Redress Committees shall not be nominated or elected/ selected to be members of the GRC.

4.5 Roles and Responsibilities of Grievance Redress Committees

The roles and responsibilities of the respective GRC are presented in **Error! Reference source not found.1**

GRCS	ROLES AND RESPONSIBILITIES
National Level GRC (Senior Social Development Officer, as the Secretary).	<ul style="list-style-type: none">▪ Ensure grievance redress mechanism is developed and functional▪ Sensitize GRCs at all levels on their roles and responsibilities▪ Ensure that functionality of E-GRM and toll free line or a designated phone number.▪ Ensure complaints registers are up to date▪ Follow up on complaints that have been directed to the national level▪ Monitor implementation of resolutions made by GRCs at all levels▪ Share best practices and general guidance to the UCSATP▪ Conduct sensitization and awareness outreach to relevant stakeholders▪ Maintain all records of grievances and redress▪ Analyse common grievances, lessons learned to inform effective project/program implementation and mitigation measures in future
District Level GRC (District Community Development Officer as the Secretary)	<ul style="list-style-type: none">▪ Sensitize District GRCs on rights and responsibilities and channels for registering a complaint▪ Follow up on complaints that have been directed to the district level and see that they are resolved▪ Conduct quarterly review meetings on GRC report

	<ul style="list-style-type: none"> ▪ Forward unresolved complaints which may require higher level solving to national level GRC. ▪ Maintain all records of grievances and redress ▪ Analyse common grievances, lessons learning to inform effective program implementation and mitigation measures in future
Sub county level GRC (Community Development Officer as the Secretary)/	<ul style="list-style-type: none"> ▪ Sensitize lower level GRCs and community members on rights and responsibilities and channels for registering complaints ▪ Follow up on complaints directed to the Sub County level and see that they are resolved ▪ Ensure complaints registered are properly logged and received appropriately Ensure documentation specifically the log book, registers, forms etc. are properly filed and stored ▪ Forward unresolved complaints which may require district level solving
Settlement GRC	<ul style="list-style-type: none"> ▪ Sensitize refugees on rights and responsibilities and channels for registering complaints ▪ Ensure complaints registered are properly logged and received appropriately ▪ Ensure documentation specifically the log book, registers, forms etc. are properly filed and stored ▪ Forward unresolved complaints which may require district level solving
Lower level GRC (FO-GRC, Workers GRC, Vulnerable and Marginalised Grievance Redress Committee, and Water User Association	<ul style="list-style-type: none"> ▪ Point of contact for beneficiaries and community to file or follow up on grievances ▪ Sensitize community on rights and responsibilities and channels for registering a complaint ▪ Follow up on complaints registered in the complaint's boxes directing as appropriate ▪ Log complaints received appropriately ▪ Compile all complaints registered and forward to the Sub County level for review and solving for those that might have not been resolved at community level.
Project User Associations	<ul style="list-style-type: none"> ▪ Perform their duty as detailed in the respective user guidelines such as water user guidelines, and roads user manuals etc ▪ Point of contact for beneficiaries and community to file or follow up on grievances ▪ Sensitize community on rights and responsibilities and channels for registering a complaint ▪ Follow up on complaints registered in the complaint's boxes directing as appropriate ▪ Log complaints received appropriately

- Compile all complaints registered and forward to the Sub County level for review and solving for those that might have not been resolved at community level.

5.0 PROCEDURE FOR HANDLING GRIEVANCES

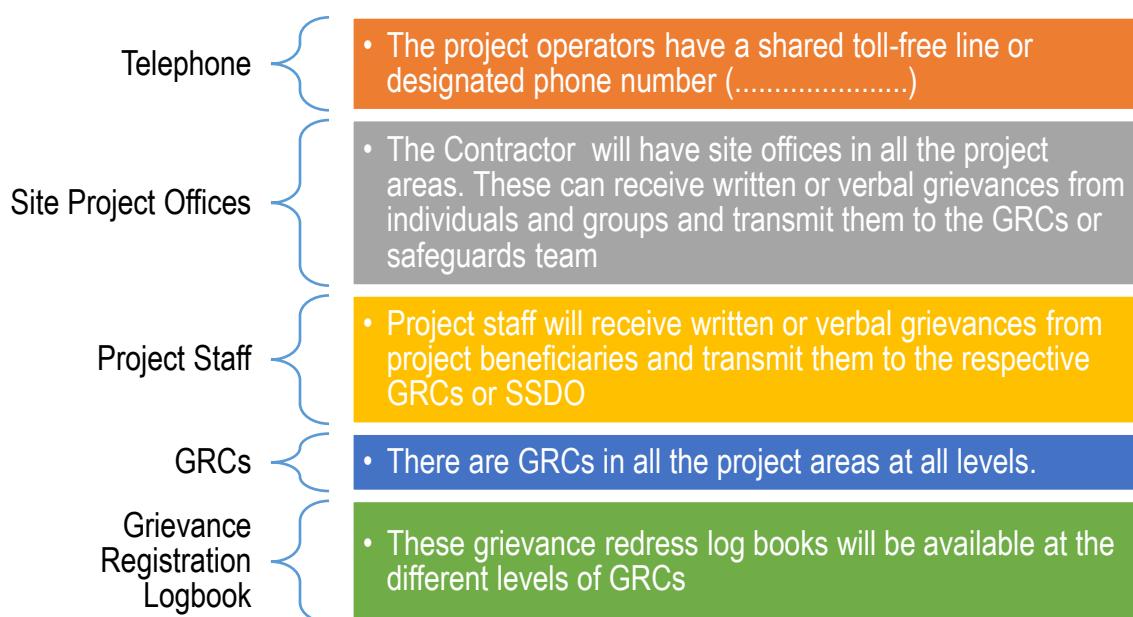
The GRM process will involve the following steps: receiving, acknowledging and recording grievances; sorting and categorization; and giving feedback



5.1 Receiving, Acknowledging and Recording Grievances

All grievances shall be received, acknowledged and recorded at the respective levels. The Secretary of the GRC will be in charge of receiving the grievance and recording in the Grievance Registration form (**Annex 1**). Acknowledgement will be within 24 hours and will include; outlining the grievance process; providing contact details of the contact person that is responsible for giving feedback about the grievance; giving an indication of how long it is likely to take to resolve the grievance. Complainants shall be periodically updated on the status of their grievances. The turn around time for grievances will be within one month from receipt of complaint.

The complainant will report or register a concern, case, complaint or grievance through any of the channels mentioned below:



When a grievance or complaint is presented, the following steps shall be taken to acknowledge and register the grievance;

- 1) The GRC Secretary/member/Project staff or any other authorized person receiving the grievance will carefully note and record the grievance (or complaint) onto the **Grievance Registration and Acknowledgement Form 1** (Annex 1) and check the content with the grievance/complainant. If appropriate, the GRC Secretary/ member/Project staff registering the grievance could take pictures related to the issue to substantiate the claim. Where relevant, GPS coordinates shall also be taken.
- 2) It is advisable for the complainant to have as much evidence as possible to help with registration and investigations. Evidence may include photographs, voice recordings, videos, a written note with number plate of the car and type of car if it involves a car.
- 3) Once completed, the GRC Secretary/Project staff/ member will read and explain what has been recorded in the grievance register to confirm that the facts provided are as written. If at all possible, grievances should be in writing. However, verbal grievances should also be accepted especially in circumstances where written grievances may be a barrier for some individuals. The form will be signed or thumb printed by the complainant's witness (if necessary) and the GRC member who registered it and a copy given to the complainant.
- 4) If possible, and if within the authority and capacity of the GRC to determine, or if the grievance is not of very sensitive, urgent or complex in nature requiring immediate attention or escalation, grievances will be addressed immediately through dialogue with the complainant. As noted above, the details of the grievance will be recorded from respondents and witnesses contacted during the grievance review and will be detailed on the Grievance Registration and Acknowledgment Form. If accepted, the agreed resolution will be documented on the **Grievance Resolution Form**, (Annex 1) the latter signed by the complainant, witnesses and/or any other individuals who choose to make comment with regard to the particular grievance.
- 5) If further review is required, the GRC will describe the process and the timeline for further review to the grievance/complainant

5.2 Sorting and categorization (Review)

Acknowledgement of grievances received will be followed by sorting and categorizing it for appropriate action. The analysis and categorization will be based on the following criteria:

- **Is the grievance within the scope of the project, i.e. is it attributable to project activities or staff?**

A GRC has no role in addressing a grievance that is outside the scope of the project but should give feedback on the same to the complainant, and where possible forward it to relevant offices.

- **Is it a sensitive or non-sensitive grievance?**

Non-sensitive grievances are those that relate directly to the projects interventions and have a potential of being verified and resolved within the GRM structures according to the procedures laid out in these guidelines. Such include grievances related to the project activities, project funding, discrimination and communications. Sensitive grievances are those that relate to the project but may require a more detailed analysis of the complaint, investigation and resolution processes. Such include: misuse of funds, corruption or fraud, conflict of interest, political interference, contravention of signed agreements, as well as gender and sexual based harassment or exploitation

5.3 Detailed analysis/ Investigation/Verification and resolution

Verification of the grievances logged at lower level will be done by the next level GRC to establish whether it is genuine or not and to ascertain its authenticity. The merit of grievances should be judged objectively against GRM principles.

The investigation shall be started as soon as possible but not longer than **14 days** after the grievance has been registered. The aims of the investigation are: (i) to determine the validity and truthfulness of the grievance; (ii) to verify the claims made by the complainant, and evidence provided to substantiate the claims; and (iii) to determine appropriate redress where required.

The investigation should seek to examine the event leading to the grievance and to verify the impact thereof and/or redress mechanism. This may involve visiting the location of the event leading to the grievance; photographs of the scene; videography, voice notes or recordings, engagement with other stakeholders in the field (i.e. triangulation) to confirm reliability of the account; and other evidence as appropriate.

Potential redress options include an apology, referral, negotiation, compensation of the aggrieved or any other resolution option within the limits and capacity of the field staff.

If the investigation and resolution cannot be achieved **within 30 days**, formal communication will be sent to the complainant informing the complainant that the grievance is being investigated, setting out the reason for the delay and advising the complainant of anticipated closure date.

Grievances that are straightforward (such as queries and suggestions) will be resolved on the spot or immediately by contacting the complainant. Whenever possible, GRC and project affected persons are encouraged to resolve grievances immediately. However, even if a grievance is resolved on the spot, it must be recorded for knowledge management. If a grievance cannot be resolved immediately the complainant should receive a response **within 30 days**.

Grievances not resolved at lower level will be escalated to the next level GRCs for further verification and investigation. GRCs will ensure neutrality in the process and outcome of the investigation. If after

exhausting the project institutional structures, beneficiaries are still dissatisfied with explanations and solutions offered, they will have the option of seeking justice through courts of law.

5.4 Options for settling complaints

The GRCs may use the following options to settle grievances:

1. **Document agreed actions;** the complainant shall be given the resolution by the GRC in writing. This will give confidence to the complainant that issue raised was handled. A copy of the resolution shall also be kept by the secretary to the GRC for future reference.
2. **Caution;** The GRC may resolve to caution the offender. This may be done in the presence of the complainant;
3. **Apology;** The offender might be required to apologize to the complainant, preferably in writing, if requested;
4. **Restitution/ restoration;** in case of damage to the property of the complainant, there shall be restitution or restoration to the damaged property;
5. **Giving information;** sometimes grievances arise from lack of information or misinformation about the project. The GRC will share such missing information to the complainant;
6. **Referral to the next GRC level;** where the grievance cannot be handled at the respective level, it will be referred to the next GRC level. This decision will be given to the complainant within the stipulated time;
7. **Determining reasonable compensation;** where compensation is to be done, it shall be reasonable and in accordance with the laws of Uganda.

5.5 Resolve and Close

Giving feed back

Feedback refers to the process of informing the complainant, all GRM users and the public at large about the result of the grievances investigated and resolved as well as the actions taken. Once a grievance has been resolved, the GRC will provide feedback to the complainant. The feedback shall have clarity in conveying the decision reached to allow the complainant to decide whether to appeal or not. GRC will provide feedback to the complainant directly through verbal communication (if his or her identity is known) and/or by posting the results of cases in high profile locations, disclosure in public meetings or publish and circulating the resolutions.

Consenting to the resolution

If the complainant is satisfied with the resolution of the committee, the complainant will consent to by signing of the grievance closure form (Annex 1) hence triggering closure.

Closing Grievance

The GRC will then record the period both in time, date and the resolution in the grievance log register and closure form (Annex 1)

Safe handling of grievance records

The grievance forms and log register shall be kept in a safe place that is only accessible by the Secretary to the GRC. The grievance records shall be archived at the end of the project and be subjected to the government data public disposal guidelines.

Anonymous grievances

A grievance received anonymously needs to be assessed to identify whether it is substantial or not and if found substantial, actions shall be taken to resolve it. This may involve engaging or holding meetings with community members to disclose the resolution of the GRC. Despite lack of an avenue to acknowledge and respond directly to the complainant, such a grievance shall be considered as a warning signal to the project or an indication of underlying discontent. Such grievances including those found to be malicious or detrimental shall be documented and taken into account during the general risk analysis of the project

Right to Appeal

A complainant who is not satisfied with the response received despite having had the opportunity to request for further clarification or feedback, has the right to make formal communication to the Project Coordinator. This shall happen within one month of receipt of the response and review. The complainant shall be informed about the appeal process and notified that response to the appeal shall be final. However, the complainant is at liberty to pursue the matter legally if still unsatisfied with the decision if all options have been exhausted.

6.0 IMPLEMENTATION AND AWARENESS CREATION

Awareness creation is a critical part of implementation of the GRM under the UCSATP. Stakeholders need to be informed about the existence of the GRM, its structures and how it operates including mechanisms for channeling grievances. Information, Education and Communication (IEC) materials shall be developed to disseminate information to various stakeholders so that they are provided with information they require on GRC mandate, objectives and operational principles for effective delivery of their functions.

6.1 Disclosure of the GRM

The UCSATP-GRM will be disclosed in all project areas as well as the MAAIF and the World Bank websites. Information leaflets and brochures about the GRM shall be presented during project related meetings and public consultations.

Training of GRCs shall be undertaken as well as awareness raising within the project area. During these gatherings, it shall be emphasized that the GRM is aimed at quick and amicable resolution of complaints and does not substitute the legal process established under national legislation.

Various avenues including radio talk shows, public forums, notice boards, and awareness campaigns shall be used to ensure people are made aware of the availability of the GRM, steps of grievance resolution as well as contacts and locations of focal persons to be approached in case of any grievance.

Various stakeholders including civil society, NGOs are considered as key actors of the GRM and play a crucial role in disseminating the information on GRM. The GRC District Focal Persons must coordinate information dissemination activities in collaboration with the SSDO, ensure that contacts of grievance focal points are posted in publicly accessible and visible places such as trading centers, market, places of worship and health centers and in every affected community.

6.2 Setting up GRM structures

The NPCU shall dispatch formal communication including Terms of Reference (**Annex 11**) to project districts urging them to establish GRCs at the respective levels.

Induction of GRC members will be undertaken to cascade knowledge on GRM, appropriate procedures and steps for managing grievances. Training materials and popular versions of the GRM will be developed and disseminated among the project stakeholders and communities.

6.3 Grievance prevention

Grievance prevention is key and shall form part of the GRM implementation. The following measures shall be put in place to prevent and/or minimise grievances from occurring.

- a) Identify risk areas that are likely to cause grievances and possible mitigation measures;
- b) Provide sufficient and timely information to the community and other stakeholders. Many complaints arise as a result of lack of information or insufficient information;
- c) Conduct community and stakeholder engagements. Throughout the project implementation, the project shall continue sharing information, progress reports, providing opportunity to community members to raise their concerns, responding to their issues in a timely manner, as well as receiving feedback on interventions;
- d) Build capacity for the project staff. The project staff shall be equipped with information about the project such as implementation of environment and social safeguards (specifically effective communication, community dynamics, negotiation and conflict resolution). Building trust and maintaining good rapport by providing information on the project and responding to community needs will help solve issues before they become grievances.

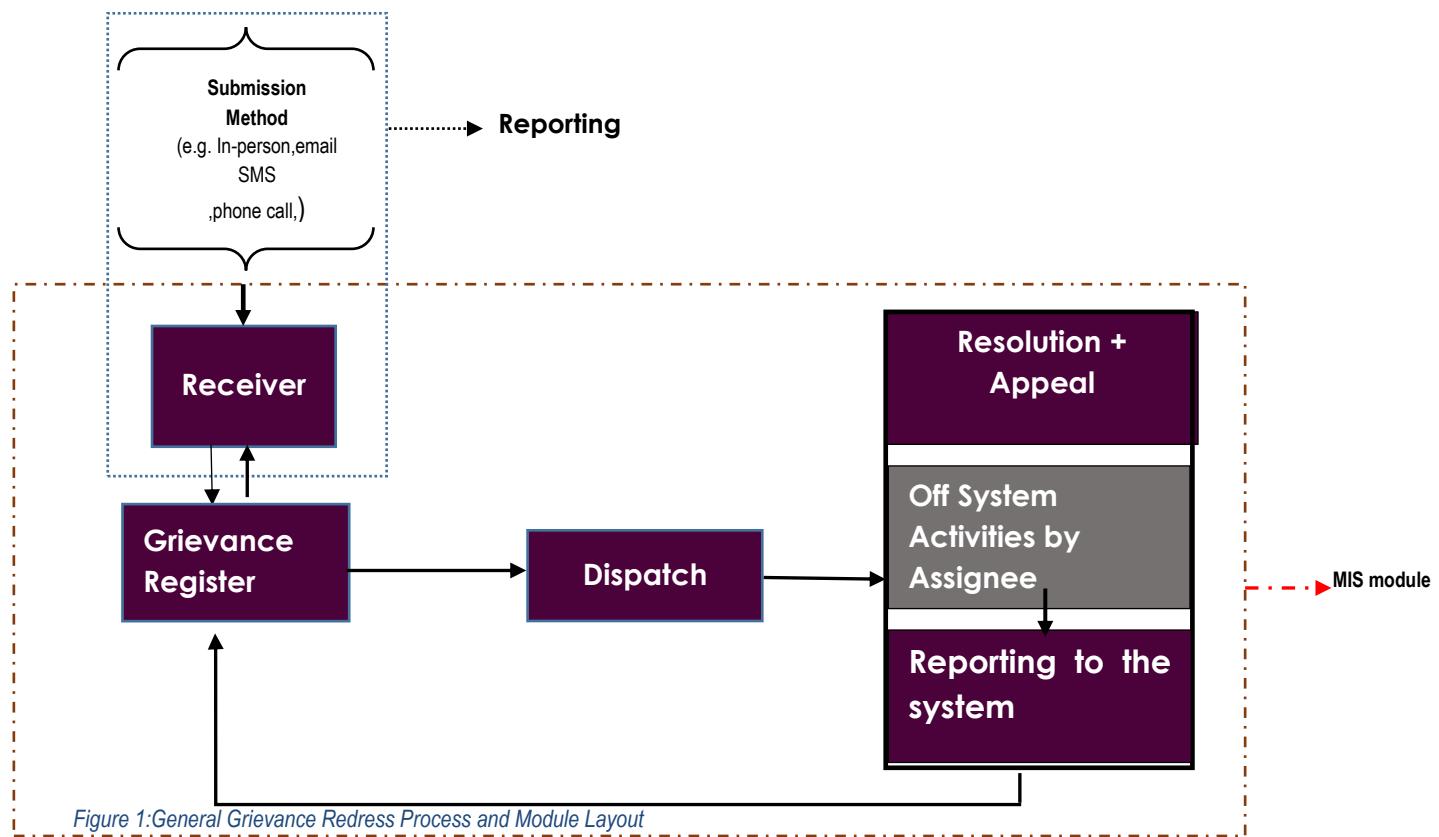
6.4 Track, document, evaluate and report results

The UCSATP MIS shall have a module for E-GRM to ensure adequate tracking and monitoring of grievance redress process, the implementation of the decisions made and ensure timely redress to complainants. Evaluation and review procedures will also be put in place to assess the overall effectiveness and the impact of UCSATP-GRM annually and their findings shall contribute to improving the performance of the GRM and provide valuable feedback to project management. The following indicators shall be used in the evaluation and reporting;

- Number of grievance raised

- Type of grievance raised
- Number and category of status of grievance (rejected or not eligible, under assessment, escalated, action agreed upon, and action being implemented or resolved)
- Number of complainants who have used the grievance redress procedure

This information is important for project management to track trends of grievance, detect errors in implementation, take timely corrective action, and make strategic changes where needed and necessary. It also provides valuable feedback about complaints satisfaction with the project and thus contributes to a good reputation for the project implementers. The figure below explains the general grievance redress process and layout module



6.5 Timelines for grievance handling

Prompt handling of grievances is encouraged as they are received, and/or addressed and records shall be kept. Where possible, complaints shall be handled instantly especially in cases where complaints are logged in through walk-ins and the toll-free option. However, in cases where complaints have been logged through written format i.e. suggestion boxes or complaint logs, periodic analyses shall be undertaken and the corresponding timelines are elaborated below.

1. The lower level GRC will interrogate the complainant in the language conversant by the complainant and complete a Grievance Registration Form (Annex 1) which will be signed by

the chairperson of the GRC and the complainant. This will then be logged in the grievance log/register provided. The complainant shall expect a response from the GRC within 30 days of filing the complaint. If the issue is not resolved, the GRC will forward the complaint to the SC-GRC/Settlement GRC;

2. The SC/Settlement -GRC will be given a fourteen (14) day notice to hold a meeting. Two days after the meeting, the SC/Settlement -GRC may call the complainant and lower level GRC for discussions and resolution. The resolution will be presented to the complainant in written form within the same day of the meeting. If there is no resolution to the grievance, the SC/Settlement -GRC shall then refer the matter to the DGRC.
3. Upon receipt, the DGRC will be given a fourteen (14) day notice to hold a meeting. Two days after the meeting, the GRC will call the complainant and SC/Settlement -GRC for discussions and resolution. The resolution will be presented to the complainant in written form within the same day of the meeting; If there is no resolution to the grievance, the DGRC shall then refer the matter either to the National level GRC or existing legal systems.
4. Referral system
The Ugandan laws allow any aggrieved person the rights to access justice through systematic administrative and judicial system. If the complainant remains dissatisfied with any of the structured levels of the grievance mechanism, complainant has a right of appeal to any legal authority. In case of any referrals, the committee will receive a complaint, record it and provide **written referrals within fourteen (14) days** to the next level of structure. Copies of these referrals shall be kept in record file. Effort shall be made to follow-up on how the resolution of the project related complaints referred are being handled.

7.0 WORKERS' GRIEVANCE REDRESS MECHANISM

An employee grievance is a problem or complaint regarding the work, company culture, or colleagues, including their management. Any communication for the purpose of gaining clarification is not included in the grievance redress process. Employee grievances may include issues such as harassment, unhealthy working environment, employee misconduct, abuse, un-ethical language etc.

7.1 Examples of employee grievances in the workplace

To gain a deeper understanding of the types of grievances that can arise in the workplace, it's essential to explore specific examples across different types. Employee grievances can manifest in various ways, ranging from issues related to pay and benefits, concerns about bullying, working conditions, and workload. Addressing these grievances effectively is crucial for maintaining a positive work environment and ensuring compliance with Uganda employment laws.

1) Pay and benefits grievances

One common area of concern for employees is their compensation and benefits package. Grievances related to pay and benefits may include:

- **Salary disputes:** Employees may raise a grievance if they believe they are not being paid in accordance with their employment contract or if they feel that their salary is not equal to their responsibilities and contributions

- **Bonus and incentive disputes:** Grievances may arise if employees believe they are entitled to bonuses or incentives that have not been awarded or if there is a disagreement about the criteria for receiving such rewards
- **Benefits package issues:** Employees may express grievances regarding the adequacy or fairness of their benefits package, including health insurance, retirement plans, and other perks promised in their employment contract
- **Pay discrimination:** Grievances related to unequal pay, especially between employees in similar roles, can lead to a formal complaint if employees perceive that they are being unfairly compensated based on the Uganda Employment Act 2006.

2) Bullying and harassment grievances

Bullying and harassment can create a toxic work environment leading employees to file grievances. Examples of these types of grievances include:

- **Verbal harassment:** Employees may experience grievances related to offensive or inappropriate comments, jokes, or language from colleagues or supervisors.
- **Cyberbullying:** With the rise of digital communication, employees may raise a grievance regarding bullying through emails, messages, or social media platforms.
- **Discrimination:** Grievances may arise if employees feel targeted due to their race, gender, age, disability, or other protected characteristics.
- **Retaliation:** Employees who raise concerns about bullying or harassment and then face retaliation may raise a grievance based on the adverse treatment they experience. Having anti-bullying and harassment policies in place can help you to address these types of grievances. These policies should include the disciplinary and grievance procedure you'll follow if an employee lodges a grievance for bullying or harassment.

3) Working conditions grievances

Issues related to the physical or environmental aspects of the workplace can also lead to grievances. Examples include:

- **Health and Safety concerns:** Employees may raise a grievance if they believe that the workplace poses health and safety risks, such as insufficient personal protective equipment, poor ventilation, or unsanitary conditions.
- **Work space disputes:** Grievances can arise when employees feel that their workspace does not meet reasonable standards or that their needs for privacy or comfort are not being addressed.
- **Unmanageable workloads:** Employees may raise a grievance if they feel overwhelmed by the volume of tasks assigned to them, leading to stress, exhaustion, and potential health issues.
- **Unrealistic deadlines:** Grievances can arise when employees believe that deadlines set by a supervisor/s are unattainable or that they are not given sufficient time to complete tasks.
- **Lack of resources:** Employees may file grievances if they feel they lack the necessary tools, resources, or support to fulfil their job responsibilities effectively.

7.2 Rights and Responsibilities

Any employee filing complaint can;	The person who is the subject of the complaint has the right to;	The entity is required to;
<ul style="list-style-type: none"> ▪ contact their immediate supervisor or HR department. ▪ submit an application describing the circumstances in detail ▪ file a plea against any formal decision. 	<ul style="list-style-type: none"> • receive a copy of the accusations. • appeal on any formal decision. 	<ul style="list-style-type: none"> • Organize a structured grievance process. • Analyze without bias. • Treat all employees equally. • Preserve anonymity. • Establish a secure working environment

7.3 Workers Grievance Redress Procedure

A. Report to the Immediate Supervisor (s) The supervisor (s) should be reported to first. They should address the situation and convey it to the employee within 5 working days.

B. Report to the HR Head

If the supervisor (s) or “Job Title” are unable to fix the dispute, the case should be transferred to the HR head. It is the HR Head’s responsibility to gather all information and conduct an investigation. If the situation involves sexual misconduct or theft, the employee has the option to file a complaint outside of the entity.

C. On receiving the complaint, the entity shall:

- Request the employee to complete the grievance registration form.
- Analyze the matter clearly by discussing it with the complainant.
- Send a copy of the grievance to the accused employee.
- Interrogate without bias.
- Keep all of the employees involved up to date.
- Take corrective measures.
- Extra information should be acquired, and more inquiry should be conducted in the case of an appeal.
- Keep a record of the same.

The UCSATP implementing partners, Contractors, Service Providers and Consultants will inform the workers of the grievance redress mechanism at the time of hiring, and make it easily accessible to them to raise reasonable workplace concerns. Worker’s grievances can be raised through;

- i. Tool box meetings,
- ii. Email,
- iii. Suggestion box,
- iv. Anonymous,

- v. Site emergency contact numbers, and
- vi. Designated person among others.

The GRM will not impede access to other judicial or administrative remedies that might be available under law or through existing arbitration procedures, or substitute for grievance mechanisms provided through collective bargaining powers.

All workers shall sign a Code of Conduct (CoC) and shall be bound by the clauses therein. Awareness raising, training shall be undertaken prior to signature of CoC and all through during project implementation. This will ensure that all the requirements in CoC's are clearly understood by all workers. This CoC's shall prohibit workers from engaging in SEA, GBV, and VAC while employed under the project. **Sanctions will be applied if a worker is confirmed as a perpetrator such as formal warming, suspension from duty, termination or referral to the police or other authorities as warranted.**

Sanctions and penalties

Administrative (replacement of inputs when farmers are willing, gentlemans agreements) & legal (investigations, MoU, agreements)

Sanctions and penalties for farmers can be achieved at the farmer group level and may include; loosing membership, charging fee (strengthen the farmer constitution on penalties)

Sanctions

At the MAAIF, district, agro-dealers – disciplinary arrangements within their appointments

8.0 ELECTRONIC GRIEVANCE REDRESS MECHANISM

The Electronic Grievance Redress Mechanism (E-GRM) are the tools that the project develops to ease the reporting, tracking, and data management of the grievances. Under the Agriculture Development Project (ACDP), MAAIF developed two parallel E-GRM Modules under the E-Extension and the E-Voucher Management Systems (EVMS).

The Uganda Climate Smart Transformation Project will upgrade, link, and deploy the existing E-GRM modules to include functionalities such as **instant reporting, tracking timelines of resolution, data storage and processing**. The project will create awareness about the E-GRM and facilitate its access to all project stakeholders. The details as regards the operationalisation of the E-GRM will be detailed in separate E-GRM manual. The grievances reported through this system will be routinely captured and addressed by the Project Grievance Redress Committees (GRCs).

9.0 GRIEVANCE REDRESS MANAGEMENT PLAN (GRMP)

9.1 Management Functions and Responsibilities

GRM implementation will be led by the Senior Social Development Officer (SSDO) supported by other team members at the NPCU. This section of the GRMP provides an outline description of the entities roles and responsibilities, summarized in the table 1

Table 1 Roles and responsibilities of stakeholders

Entity	Responsibilities
National Coordination (NPCU) Project Unit	<ul style="list-style-type: none">▪ Monitor Project compliance with Ugandan legislation and World Bank standards on Grievance Management▪ Participate in the implementation of some activities in the ESMP/RPF and GRM▪ Provide oversight on GRM▪ Validate the Grievance Redress Management Plan▪ Validate changes to the Grievance Procedure, participates in grievance resolution and approves solutions▪ Share messages from the Project with government entities and World Bank through its engagement with them▪ Review and aggregate all quarterly reports.▪ Support the development of grievance related risk management activities.▪ Coordination and validation of project Grievance data base in PIMs;▪ Monitor compliance of respective farmer groups, suppliers, consultants, SPs and contractors against the grievance redress related commitments
Project Coordinator	<ul style="list-style-type: none">▪ Coordinate commitments cited under the GRMP▪ Coordinate engagements with national government and World Bank stakeholders on high level project grievances.▪ Approve human and financial resources required for grievance management▪ Establish NPCU – NGRC▪ Chair the NPCU - NGRC
Senior Social Development Officer	<ul style="list-style-type: none">▪ Coordinate and monitor all project related grievances▪ Monitor compliance of grievance management requirements by both the project team ,Contractors and Project beneficiaries▪ Define human and financial resources required for grievance management▪ Receive feedback on implementation and risks▪ Establishment and training of GRCs at all levels▪ Ensure that all project grievance management related activities such as engagements, resolutions, trainings, awareness sessions are reported▪ Participate in the shaping of the field team's grievance resolution schedule with local authorities and communities▪ Support the project team in identifying grievance related risks and defining mitigation measures▪ Track inconsistency in messaging or gaps information given to local authorities and communities, as well as local authorities and communities' main issues and concerns, and prepares internal speaking points and information material accordingly▪ Ensure the Grievance Risk Register and related Risk Mitigation Action Plan is regularly updated, and actions completed on time

Entity	Responsibilities
	<ul style="list-style-type: none"> ▪ Participate in all GRM joint implementation and supervision Missions, meetings and workshops. ▪ Review monthly ESHS reports submitted
Sen. Environment, Safety and Health Officer Officer, PCU	<ul style="list-style-type: none"> ▪ Monitor all GRM aspects related to Environment, Safety and Health (ESH) implementation ▪ Ensuring that all ESH grievance related trainings and related activities are well documented and reported ▪ Undertake stakeholder engagement to ensure resolution and closure of project environment, safety and health related grievances
Sen. Sustainable Land Management Officer, PCU	<ul style="list-style-type: none"> ▪ Monitor all GRM aspects related to climate risk mitigation specifically on sustainable land management ▪ Ensuring that all trainings and activities pertaining to resolution of grievances related to climate change mitigation grievance are well documented and reported ▪ Undertake stakeholder engagement to ensure resolution and closure of grievances related to implementation of climate change mitigation activities
Project beneficiaries and stakeholders	<ul style="list-style-type: none"> ▪ Lodge complaints and grievances using the GRM defined in the GRMP ▪ Participate in the local Grievance Resolution meetings ▪ Participate in the GRM information disclosure sessions/meetings ▪ Support the Project to define mitigation measures
Ministries, Departments, Agencies and District Local Governments	<ul style="list-style-type: none"> ▪ Monitor Project compliance with Ugandan legislation ▪ Participate in the implementation of activities in the ESMP/RPF and GRM. ▪ Review key project related grievances

9.2 Resources

Resources for implementation of the GRM will be sourced from the approved Project Workplan and budget

GRM MITIGATION AND MONITORING COMMITMENT REGISTER

Table 11-0-1: Grievance Redress Management Plan Mitigation and Monitoring Commitment Register (MMCR)

No	CSATP SEP Commitment	Responsibility	Means verification	Expected Output	Time frame	Allocated Resources	Monitored By	Means of Monitoring
1	Develop GRMP	MAAIF -PCU	<ul style="list-style-type: none"> ▪ Approved GRMP 	Approved GRMP	Two months after project effectiveness.	Approved AWPB	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of quarterly Report
2	Create awareness on the implementation of the GRM	MAAIF PCU	<ul style="list-style-type: none"> ▪ Project Presentations ▪ GRM awareness ▪ Activity reports ▪ Attendance Lists ▪ Photos 	Project stakeholders at all levels sensitized about the CSATP GRM	Throughout project implementation	Approved AWPB	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of quarterly Report
3	Develop and disseminate GRM Information, Education and Communication (IEC) materials inform of; GRM Logbooks, Information posters, leaflets and brochures	MAAIF PCU	<ul style="list-style-type: none"> ▪ GRM Logbooks ▪ Brochures ▪ Leaflets, ▪ Posters 	Project GRM IEC materials developed and disseminated	Before commencement of the project activities	Approved AWPB	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of Quarterly reports

Grievance Redress Mechanism

No	CSATP SEP Commitment	Responsibility	Means of verification	Expected Output	Time frame	Allocated Resources	Monitored By	Means of Monitoring
4	Establish GRCs at different levels.	MAAIF PCU	<ul style="list-style-type: none"> ▪ GRC Establishment report ▪ List of GRCs formed 	GRCs at all levels established and operational	Before commencement of project activities	Approved AWPB	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of Quarterly reports
5	Training of GRCs on implementation of GRM	MAAIF PCU	<ul style="list-style-type: none"> ▪ Training report ▪ Photos 	GRCs trained on their roles and mandate	Before commencement of activities	Approved AWPB BOQ	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of Monthly & quarterly Report
6	Document GRM process	MAAIF PCU Contractor / Consultant / Service Provider	<ul style="list-style-type: none"> ▪ Filled GRM logbooks ▪ GM Data base ▪ Grievance Resolution reports ▪ Grievance monthly and quarterly reports 	GRM clearly documented	Throughout project implementation	Approved AWPB BOQ	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of quarterly Report ▪ WB Mission
7	Tracking and monitoring the process of grievance redress and the implementation of the decisions made	GRCs, MAAIF NPCU	<ul style="list-style-type: none"> ▪ GM Data base ▪ Grievance Resolution reports 	GM Data base in place Timely closure of grievances	Monthly Quarterly	Approved AWPB BOQ	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of Monthly & quarterly Report

Grievance Redress Mechanism

No	CSATP SEP Commitment	Responsibility	Means of verification	Expected Output	Time frame	Allocated Resources	Monitored By	Means of Monitoring
			<ul style="list-style-type: none"> ▪ Grievance monthly and quarterly reports 					
	Evaluation procedures will also be put in place to assess the overall effectiveness of GRMs	MAAIF NPCU,	<ul style="list-style-type: none"> ▪ Verification of closed grievances ▪ GRM Data base ▪ Grievance Resolution reports ▪ Grievance monthly and quarterly reports 	Robust GRM	Quarterly	Approved AWPB	WB	<ul style="list-style-type: none"> ▪ Review of Monthly & quarterly Report
8	Suggestion boxes will be installed at appropriate project facilities.	MAAIF NPCU, GRCs	<ul style="list-style-type: none"> ▪ Suggestion Box at offices 	Gather feedback and grievances	During project Implementation	Approved AWBP	PCU WB	<ul style="list-style-type: none"> ▪ Review of Monthly & quarterly Report
		Contractor / Consultant / Service Provider	<ul style="list-style-type: none"> ▪ Suggestion Box at Facilities 			BOQ	MAAIF PCU	
9	Emergency contact list and GRM contact list will be filed, displayed, and disseminated	GRCs, MAAIF-NPCU, Contractors/Service Providers/Consultants/	<ul style="list-style-type: none"> ▪ Contact lists 	Easy Reporting	During project	Approved AWPB BOQ	MAAIF PCU	<ul style="list-style-type: none"> ▪ Review of Monthly &

Grievance Redress Mechanism

No	CSATP SEP Commitment	Responsibility	Means of verification	Expected Output	Time frame	Allocated Resources	Monitored By	Means of Monitoring
					Implementation			quarterly Report
10	GRC will have Grievance Resolution Meetings as and when required	GRC, MAAIF-NPCU, Contractor / Consultant / Service Provider	<ul style="list-style-type: none"> ▪ Grievance Resolution MoM ▪ Meeting expenditure by contractor 	Grievance resolution meetings held	Quarterly Monthly	BOQ	MAAIF PCU	<ul style="list-style-type: none"> ▪ Review of Monthly & quarterly Report
11	Field visits will be carried to ascertain the compliance of social safeguards	MAAIF-NPCU,	<ul style="list-style-type: none"> ▪ Field reports 	<ul style="list-style-type: none"> ▪ Visit ▪ Adherence to all project social safeguards 	Quarterly Monthly	Approved AWPB Approved AWPB BOQ	WB PCU	<ul style="list-style-type: none"> ▪ Review of Monthly & quarterly Report
12	Workplans comprising of GM aspects will be submitted	MAAIF-NPCU,	<ul style="list-style-type: none"> ▪ Approved AWPB 	GRM activities are planned and budgeted for	Annually	Approved AWPB	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of workplans and budgets ▪ Review of quarterly Report
13	The Contractors/ Consultants shall submit monthly reports, bearing GRM issues to MAAIF-PCU.	Contractor / Consultant / Service Provider /	<ul style="list-style-type: none"> ▪ Monthly reports submitted to consultant 	All grievances reported	Implementation phase	Contractor BOQ	PCU/ MAAIF / WB	<ul style="list-style-type: none"> ▪ Review of Monthly & quarterly Report

Grievance Redress Mechanism

No	CSATP SEP Commitment	Responsibility	Means of verification	Expected Output	Time frame	Allocated Resources	Monitored By	Means of Monitoring
14	Multi-sectoral monitoring by the steering committee undertaken. (Comprised of relevant Ministries, Departments and Agencies)	MAAIF-NPCU,	<ul style="list-style-type: none"> ▪ Multi-sectoral monitoring reports 	Project's compliance with the WBs and National social risk management requirements	Quarterly and when deemed necessary coordinated by the PCU.	Approved AWPB	MAAIF PCU WB	<ul style="list-style-type: none"> ▪ Review of multi-sectoral monitoring reports ▪ Review of quarterly Report

10.0 GRM REPORTING

The GRM implementation will be regularly monitored and reported on as part of overall ESMF monitoring by SSDO. Monitoring will assess documented evidence of GRM activities conducted and verify them on a spot-check basis and/or where concerns arise.

10.1 Monitoring

To ensure the successful implementation of the GRM; MAAIF, Consultants and Contractors will conduct on-going monitoring. This monitoring will include a set of quantitative and qualitative KPIs that contribute to the overall evaluation of whether the objectives of grievance management are being met and assess both processes and outcomes.

MAAIF GRM KPIs

Indicator	Measure/ Evidence	Criteria/ Evidence	Target	Frequency of Measurement
Process Indicators				
Realized vs. planned establishment of GRCs	%		100	Once at the start of the project
Realized Vs, Planned Trainings of GRCs	%		100	Once after their establishment
Information, Education and Communication (IEC) materials	Developed		TBD	Once
Disseminated GRM IEC materials	Printed grievance log books Printed posters, leaflets and brochures about the GRM Number Printed IEC materials		All GRCs	Annually
Disclosure of the project GRM to project stakeholders	Number	All project areas	Quarterly	
Periodic provision of accurate, sufficient and timely information to the community and other stakeholders.	Number Meeting reports Community at meeting enhance registers	All project areas	Quarterly	
Analysis of the received Vs resolved grievances	Number	100	Monthly	
Timely closure of grievances	%	100	Monthly	
Number of Grievances recorded	Number		Monthly	
Outcome Indicators				

Grievance Redress Mechanism				
Indicator	Measure/ Evidence	Criteria/	Target	Frequency of Measurement
Public positive feedback on the Project from key stakeholders (quantitative and qualitative)	N/A			Annual

Grievances shall be captured for monitoring and reporting using annexed registration and reporting templates by GRM parties at National, District, Sub-County and lower level where the grievances was logged.

The National, District, Sub-County and lower level and other GRC's to be established in liaison with safeguards' team will provide monthly updates on the status of handling and management of grievances within their respective project awarded scope. All contractors and consultants are required to report all social and Environment aspects (including all grievances) to **MAAIF NPCU** on a monthly basis. **MAAIF NPCU** will then make a submission to the World Bank. Contractors and Consultants shall report as detailed in reporting format presented in Annex 5 with respect to implementing the requirements of this GRM under the Monthly ESHS Report.

The GRM will be periodically reviewed to incorporate any emerging project issues consistent with Environment and Social Standards(ESS)

11. Sustainability

The implementation of the GRM structure is fitted into the agriculture community based extension system. The mechanism is also anchored across all the project value chain activities and investments notably; the Crop, Animal, and Fisheries value chains.

12.0 ANNEXES

10.1 ANNEX 1: UCSATP Grievance / Complaints Registration and Closure Form/ Referral (Template)

Document Title:	UCSATP GRIEVANCE LOG	
Document Control No:	UCSATP/GRM/.....	
Serial No:	
GRIEVANCE LOG		

A. Grievance Registration Form

<input type="checkbox"/> I wish to raise my grievance anonymously	<input type="checkbox"/> I request not to disclose my identity without my consent
---	---

1) Details of the complainant		
Name of Complainant:		Gender:
Telephone Contact:		Village:
Sub-County:		District:

2) Categories of Grievance				
<input type="checkbox"/> Land	<input type="checkbox"/> Security	<input type="checkbox"/> Valuation	<input type="checkbox"/> Social Conduct	<input type="checkbox"/> Stakeholder Engagement
<input type="checkbox"/> EHS	<input type="checkbox"/> Employment	<input type="checkbox"/> Compensation	<input type="checkbox"/> Line clearance	<input type="checkbox"/> Cultural Heritage
<input type="checkbox"/> Legal	<input type="checkbox"/> Livelihoods	<input type="checkbox"/> Identification	<input type="checkbox"/> Any other:	

3) Frequency of Grievance (If applicable)			4) Mode of receipt		
One-time incident/grievance (date _____)		Happened more than once (How many times?)		<input type="checkbox"/> In Person	<input type="checkbox"/> SMS
				<input type="checkbox"/> Phone call	<input type="checkbox"/> Email
				<input type="checkbox"/> Written Verbal	

5) Description of Grievance (What happened? Where did it happen? Who did it happen to? What is the result of the problem?)					Signature of Complainant:
					Date:

Any Supporting document?	Yes	NO	Specify:			
Grievance Registered by (Name)				Contact	Signature	Date
6) Action taken						

Grievance Redress Mechanism

Action Owner (Name)	Designation	Signature	Date
B. Action Referred to:			
Action Owner (Name)	Designation		
Name of Complainant	Signature & Date	Name of witness	Signature & Date

9.1 ANNEX 2: UCSATP Workers Grievance / Complaints Registration Form (Template)

Climate Smart
Agriculture
Transformation
Project

Document Title:	UCSATP WORKERS GRIEVANCE LOG
Document Control No:	UCSATP/GRM/.....
Serial No:

WORKERS GRIEVANCE LOG

Employee Name:

Date of submission:

Job Title:

Employee's ID/ Number:

Address:

Workstation:

Complaint Information

Date of Incident: *Time of the Incident:* *Location of the Incident:*
.....

Please describe the incident in detail:

If there are others who have witnessed the incident, please provide their names and phone numbers below:

Is this the first time you have raised this concern? YES NO

Signature:

Date:

9.2 ANNEX 3: UCSATP Grievance Log Register

No	Grievance Reference No	Date of receipt	Mode of recipient	Complainant full name	Telephone	Gender	District	Sub County	Village	Grievance category	Grievance description	GPS Coordinates	Date of Initial response/feedback	Officer receiving Grievance details	Officer investigating Grievance Details	Proposed resolution	Actual resolution	Status	Grievance closure date	Witness details	Comments

NOTE: Dropdown/ Sub headings will be extracted from the Annex 1: UCSATP Grievance / Complaints Registration and Closure Form (Template)

9.3 ANNEX 4: Sample Grievance Registration Form for SEA/GBV

No.	Date Incident logged in	Place of Incident	Age/ Sex	Summary status of case	Suspect/ Perpetrator	Support provided to survivor	Investigation/ legal redress progress	Next actions	Case close out

Grievance Redress Mechanism

9.4 ANNEX 5: Monthly Grievance report format (Template)

A. FOLLOW-UP**B. ENGAGEMENT CALLS TO GRCS**

No.	GRC Level	Name	Engagement Date	Designation	Feedback
	National				
	District				
	Subcounty				
	Village/ Settlements	Refugee			

C. Analysis of Grievances

Category	Reporting Month		Cumulative Reporting		Mode	Reporting Month		Cumulative Reporting	
	No	%	No	%		No	%	No	%
Land					In Person				
EHS					Phone call				
Legal					SMS				
Security					Email				
Employment					Written				
Valuation					Verbal				
Compensation					Total Mode				
Livelihoods					Grievance Reporting Data		No.	Cumulative Reporting Month	
Identification					No. of grievances received and addressed at lower level?				
Stakeholder Engagement					No. of grievances received and addressed at Subcounty level?				
Cultural Heritage					No. of grievances received and addressed at District level?				
Social Conduct					No. of grievances received and addressed at National level?				
Land clearance					No. of grievances referred to other legal institutions e.g. Police, Courts of Law				
Total No of Grievances					How many logged grievances were not related to the project?				
Gender Data	Male				Average response time from the	To the agreement on solutions with Complainant?			
	Female					To the implementation of			

Grievance Redress Mechanism

						deposit of complaint	the agreed solution?		
<i>Reporting period unresolved grievances (Insert Month)</i>									
<i>No. of open cases at the beginning of the month</i>					<i>No. of New cases during the month</i>				
<i>No. of Open cases at the end of the month</i>					<i>No. of Closed cases at the end of the month</i>				

9 GRM SAFEGUARDS TRAININGS

No	Date	Training Topic	Training Content	Training Methodology	No of participants	Gender data		Feedback	Report Ref
						M	F		

Have Pictures of Social safeguards trainings included

10 GRM CHALLENGES

No	Aspect / Topic	Challenge	Risk	Impact on Project	Proposed Mitigation	Required Support	Timeline

11 PLANNED GRM ACTIVITIES*a) Planned GRM Sensitization*

No.	Planned Date	Planned Sensitization Topic	Who to sensitize

b) GRM Trainings

No	Planned Date	Planned Training Topic	Planned Training Methodology

c) Proceeding Months GRM Budget.

No	Planned Activity	QTY	Days	Rate	Amount

9.5 ANNEX 6: Minute of Meeting (Template)

Document Title:	UCSATP MINUTES OF MEETING
Document Control No:	UCSATP/SEP/.....
Date:	Venue:
Purpose of Meeting:	
Category Stakeholder:	

Agenda:

[Insert Photo of meeting]

Min. No.	Minute Description, Deliberations and timeline.	Responsible Person

We hereby certify that the above is a true and accurate record of the meeting

Secretary

Chairperson

Name:

Name:

Signature:

Signature:

Date:

Date:

9.6 ANNEX 7: UCSATP Engagement Attendance Template

Document Title:	UCSATP Meeting Attendance Record			Document Control No:	UCSATP/SEP/.....	
Date:				Day of the Week:		
Venue:				Time:		
Purpose:						
No.	NAME	GENDER	JOB TITLE/ DESIGNATION	ENTITY/ORGANISATION	CONTACT NO & EMAIL	SIGNATURE
					TEL: EMAIL:	
					TEL: EMAIL:	
					TEL: EMAIL:	
					TEL: EMAIL:	
					TEL: EMAIL:	
					TEL: EMAIL:	
					TEL: EMAIL:	

Grievance Redress Mechanism

					TEL: EMAIL:	
--	--	--	--	--	----------------------------------	--

9.7 ANNEX 8: UCSATP Community Engagement Attendance Template

		Document Title:	UCSATP Community Attendance Record	Document Control No:	UCSATP/SEP/.....
		Date:		Day of the Week:	
		Venue:		Time:	
District:	Subcounty:			Village:	
Purpose:					
No.	NAME	GENDER	CONTACT NO		SIGNATURE

9.8 ANNEX 9: UCSATP GRC Training Attendance Template

UGANDA CLIMATE SMART
AGRICULTURE TRANSFORMATION
PROJECT

Document Title:	UCSATP TRAINING ATTENDANCE RECORD
Document Control No:	UCSATP/.....
Date:	

Scope & Location:

Training Subject:

Contents covered in brief:

No.	NAME	GENDER	JOB TITLE/ DESIGNATION	COMPANY	CONTACT NO	SIGNATURE

Grievance Redress Mechanism

Training Facilitator / Co-coordinator Name Signature Date

9.9 ANNEX 10: Climate Smart Social Instructions Templet

UGANDA CLIMATE SMART AGRICULTURE TRANSFORMATION PROJECT	Document Title:	UCSATP SAFEGUARD INSTRUCTION
	Document Control No:	UCSATP.....
	Date:	Day of the Week:

(i) Entity/Consultant /Contractor/Supplier:
(ii) Specific Description of (i):
(iii) Scope of Work:

Instruction Topic: Triggered Safeguard

Safeguard Instruction:

Name of Issuer of Instruction:

Name of Receiver of Instruction:

Designation of the Issuer:

Designation of the Receiver:

Grievance Redress Mechanism

Signature of issuer:

Signature of Receiver:

9.10 ANNEX 11: GRC Terms of Reference

1. What is a Grievance?

A Grievance is a concern or complaint raised by an individual or a group within communities affected by project activities. It requires an intervention

2. GRIEVANCE REDRESS COMMITTEE

The Grievance Redress Committee is a body that receives and processes complaints from citizens/communities affected by project activities and takes action.

3. ROLES

Grievance Redress Committee will:

- (i) Receive, document, address and /or refer complaints/issues in relation to the Project.
- (ii) Acknowledge receipt of the complaint;
- (iii) Hold meetings whenever cases arise;
- (iv) Sensitize communities about the existence of the GRC and its operations i.e. how, where and who to report to. The contact/s of person/s to report to must be shared with the community/ stakeholders; and
- (v) Awareness creation about the project

Please note:

- (i) Channels for reporting could include telephone calls, text messages, face to face, letters, WhatsApp messages, baraza's;
- (ii) There shall be a complaint log that shall be kept and managed by the GRC secretary at all levels; and
- (iii) Confidentiality should be observed.

4. CONSTITUTION OF GRIEVANCE REDRESS COMMITTEES

GRCS shall be constituted at four levels as follows:

Level One; The Lower level GRC will be a 5 members of which 30% of the Executive positions shall be women. These lower level GRC will comprises

- i. Chairperson,
- ii. Secretary,
- iii. 2 members
- iv. Representative of the youth
- v. Representative of Vulnerable and marginalized persons as an ex-official

Level two- Subcounty Grievance Redress Committee (SGRC); It will comprise of 5 members including;

- i. LC 111 Chairperson (The chair, GRC),
- ii. Sub county Community Development Officer (Secretary),
- iii. Sub County chief,
- iv. NGO/CBO representative and
- v. A representative of vulnerable groups (women etc.) as members.

Refugee Settlements GRC – The committee will comprise of 5 members namely the Settlement Commandant (chairperson), Assistant Community Services Officer (Secretary), Community Based Facilitator (CBF), Refugee Welfare Councils III, Woman Refugee representative.

Level three – District GRC; The GRC at the district will at a minimum comprise of 7 members;

Grievance Redress Mechanism

- i. The Chief Administrative Officer (the Chairman),
- ii. The District Community Development Officer (DCDO) (Secretary)
- iii. District Lands Officer (DLO),
- iv. Project District Focal Person Officer,
- v. District Natural Resource Officer (DNRO)
- vi. District Environment Officer
- vii. District Labour Officer
- viii. Representative of CSO/Refugee as an ex-official.

Others members shall be co-opted such as ex-official depending on their expertise or specialist relevant to the complaint or grievance being reviewed

Level four; The NGRC shall be comprised of Project Coordinator (chairperson,) Senior Social Development officer (Secretary), SEHSO, SSLM, and Senior Communication and Knowledge Management Officer. Others members shall be co-opted as ex-official depending on their expertise or speciality relevant to the complaint or grievance being reviewed

Table 1: Composition of Members of the Grievance Redress Committees

No	Level	Chair	Secretary	Composition of members
1	Lower level (FO-GRC, Workers GRC, Vulnerable and Marginalised Grievance Redress Committee, and Water User Association)	Selected by members of GRC	General Secretary	<ul style="list-style-type: none"> 1) Chairperson, 2) Secretary, 3) 2 members 4) Representative of the youth 5) Representative of Vulnerable and marginalized persons as an ex-official
2	Sub County/ Settlement - GRC	LC 111 Chairperson	Sub county Community Development officer (CDO)	<ul style="list-style-type: none"> 1) LC 111 Chairperson (The chair, GRC), 2) Sub county Community Development Officer 3) Sub County chief, 4) NGO/CBO representative and 5) A representative of vulnerable groups (women etc.) as members
3	Refugee Settlements GRC	Settlement Commandant	Assistant Community Services Officer	<ul style="list-style-type: none"> 1) Settlement Commandant (chairperson), 2) Assistant Community Services Officer (Secretary), 3) Community Based Facilitator (CBF),

Grievance Redress Mechanism

				4) Refugee Welfare Councils III, 5) Woman Refugee representative.
4	District	Chief Administrative Officer (CAO)	District Community Development officer (DCDO)	1) The Chief Administrative Officer (the Chairman), 2) The District Community Development Officer (DCDO) (Secretary) 3) District Lands Officer (DLO), 4) Project District Focal Person Officer, 5) District Natural Resource Officer (DNRO) 6) District Environment Officer 7) District Labour Officer 8) Representative of CSO/Refugee as an ex-official.
5		Project Manager (MAAIF-PCU)	Senior Social Development officer, PCU	1) Project Coordinator (chairperson,) 2) Senior Social Development officer (Secretary), 3) SEHSO, 4) SSLM, and 5) Senior Communication and Knowledge Management Officer. 6) Technical officer - ex-official

NOTE:

- i. The GRC will be constituted before the project commences/site is handed over to the Contractor.
- ii. In communities hosting refugees and ethnic minorities, there should be a deliberate effort to have at least a representative from these communities on the GRC.
- iii. At least one member of each Committee should be elderly (60 and above).
- iv. GRCs will co-opt a PAP if they are not already represented on the Committee. The PAP representative will be nominated from among the PAPs using the laid procedures.
- v. The GRC Chairperson can co-opt a knowledgeable person when a particular case is being heard /settled. Also, technical persons can be co-opted from the Higher levels
- vi. There shall be deliberate effort by MAAIF-PCU to train all GRC members on their roles and responsibility. However, the responsibility of continuous training of GRCs also rests with MAAIF-PCU
- vii. A member is free to tender a resignation at any time and will be replaced by another member from the group they represent using the laid procedures within three (03) weeks after receipt of the resignation of the previous member.

5. PROCEDURE FOR FORMATION OF GRIEVANCE REDRESS COMMITTEES AT THE VARIOUS LEVELS

For Lower Level: The human resource manager/ chief of vulnerable and marginalized group/LC 1 will prepare a call to the contractors' workers/Farmer organization members/chief of vulnerable and marginalized group/LC 1 requesting for nominees to the GRC based on the required individual or group representatives. Nominees will be subjected to democratic vote by members and those who will be successfully voted, will then submit their acceptance in writing. List of members of the Grievance Redress Committee will be compiled and displayed on notice boards or areas accessible to farmers, communities and workers to view. For instance, in churches, markets, community notice boards, project notice boards, Village Council notice board

While for Sub County Level, Refugee Settlements GRC and District GRC: Letters seeking nomination of members to GRC at the different levels will be dispatched to respective districts. Emphasis shall be put on adoption of existing GRCs or expansion of members to fit the needs of the project in accordance with Terms of Reference of GRC. Details of the GRC members will be compiled and displayed on websites, notice boards or areas accessible to farmers, communities, workers and service providers.

6. TERM OF OFFICE OF GRIEVANCE REDRESS COMMITTEES

The Term of Office of all project level GRCs will expire when the project is completed. However, members at each level will prepare a hand over report when their term of office expires and will hand over the office including documents and any assets to the Chairperson at that level. The terms of reference for GRC's has been annexed to this GRM.

7. RECEIVING, DOCUMENTATION, PROCESSING COMPLAINTS, REFERRAL AND REPORTING ON GRIEVANCES

7.1 Receiving and documenting Complaints

The Secretary of the GRC at various levels will be responsible for receiving verbal and /or written complaint/s. The Secretary will capture the complaint in the Grievance Receipt Book and give the complainant a Grievance Acknowledgement Receipt.

At the point of receiving the complaint the Secretary shall document the complaint / grievance in the Complaints Log

7.2 Processing of Complaints

The Secretary will analyze the complaint and take the appropriate action for instance:

- I. Give immediate guidance to the complainant e.g. on when the complaint will be discussed by the GRC, where to report if the complaint is out of the scope of the GRC such as defilement and murder; and
- II. Schedule meetings/hearings: The Secretary shall develop a schedule of meetings i.e. at least once a week. However, meetings will only be held when there are cases to address

The Secretary will then call for a GRC meeting meant to address the complaint/s. The meeting is held within **7 working days** from the date of lodging the complaint/s.

Grievance Redress Mechanism

The outcomes of the meeting will be communicated to the complainant within **7 working days** from the date of the GRC meeting. All decisions will be taken as a team but will be endorsed by the Chairperson of the GRC

7.3 Case Referral Path

Cases that may not be resolved at that particular GRC level will be referred to the next level e.g if a case is not resolved at lower level, it will be referred to the Chairperson at Sub County level while those that have not been resolved at Sub County level will be referred to the Chairperson of the District level. If the matter cannot be resolved at District level it should be forwarded to the National GRC Level.

8. SCOPE OF GRIEVANCES

The GRC will handle only cases related to the project. These will include:

- Delayed compensation
- Wrong computations
- Nonpayment of valued assets/property/crops
- Delayed and Nonpayment of wages / salaries to workers;
- Workers' complaint e.g. non provision of free PPEs, poor working conditions;
- Complaints from the community about dust and noise arising out of implementation of the project
- Non provision of free PPE;
- Theft of materials at the site;
- Conflict with neighbours of the project

GRC will register all cases they receive **BUT WILL NOT HANDLE** land related matters, cases across districts and those of capital nature such as murder, rape, defilement, aggravated robbery. If such cases are reported to the GRC, they shall be referred to relevant offices e.g. Police.

9. RULES OF GRC

1. The membership of a GRC at all levels will be **six (6)** members.
2. The quorum of a GRC at all levels will be **four (3)** members.
3. If a member/s is an alleged perpetrator of the complaint, he /she will not attend the meeting/s as GRC member.
4. The GRC at all levels will operate within the laws of Uganda.

10. FINANCING OF THE GRC ACTIVITIES

1. The activities of GRCs will include the following: documentation, meetings, publicity, investigation which will require stationery, fuel, tea, lunch, transport refund, airtime among others.
2. Funding for GRC activities will be drawn from the MAAIF PCU safeguard budget.