



Increasing socio-ecological resilience through community-led management of key coastal ecosystems in Pemba Channel, Tanzania

Annex F: Grievance Mechanism

Fauna & Flora International

Blue Action Grievance Mechanism Template Version 2, May 2021

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1. Introduction

This document describes the Grievance Mechanism for ‘Increasing socio-ecological resilience through community-led management of key coastal ecosystems in Pemba Channel, Tanzania’ (hereafter referred to as “the Project”), outlining the procedures that Fauna & Flora International (FFI) and MWAMBAO-MCCC will follow to address any comments, suggestions, questions and complaints that stakeholders may have about the Project and its activities. The Grievance Mechanism has been developed in alignment with international good practice, including the Blue Action Fund Environmental and Social Management System (ESMS) requirements and the World Bank Environmental and Social Standards (notably ESS10), and also complies or exceeds Tanzanian and Zanzibari requirements as well as internal Fauna & Flora International and MWAMBAO-MCCC policies and procedures. Details on the Project description, social context and legislative framework can be found in the first two sections of the Environmental and Social Management Plan (ESMP).

Blue Action Fund require projects to have established a provisional Grievance Mechanism, including completion of any necessary pre-cursory assessments and consultations to understand customary and other grievance management mechanisms with Project Affected People, upon submission of a full proposal. The scope, scale and type of Grievance Mechanism will be proportionate to the nature and scale of the potential risks and impacts of the project. This Grievance Mechanism is provisional (full proposal stage). It will be updated and established within the first three months of project implementation, as illustrated in Table 1.

Table 1: Blue Action Fund requirements for Grievance Management (Blue Action Fund E&S Safeguarding Principles and Requirements, ESMS Manual Annex B).

Blue Action Fund requirements	Project design		Project implementation		
	Concept note stage	Proposal stage	Inception Phase	Annual (or end of Year 1)	Project closing phase
Provisional Grievance Mechanism [Criterion 9.1]	Na.	Required.	Na.	Na.	Na.
Established Grievance Mechanism [Criterion 9.2]	Na.	Na.	Required: within 3 months	Required	Required
Grievance Mechanism Implementation ¹ [Criterion 9.3].	Na.	Na.	Na.	Required	Required

A grievance is considered to be any complaint, question or concern about the way the project is being implemented. It may take the form of specific complaints about impacts, damages or harm caused by the project, non-conformity with the Blue Action Fund and Fauna & Flora International’s safeguards, concerns about access to the project stakeholder engagement process or about how questions and concerns about project activities, or perceived incidents or impacts, have been addressed.

For this Project, there are two main components and related outputs: 1) Improved resilience of climate-relevant ecosystems in Tanzania through increased protection and management; 2) Improved resilience and enhanced livelihoods of the most vulnerable communities in PECCA and Tanga-Mkinga, Tanzania. Component 1 will i) Improve the resources, instruments and capacities for MPA management and sustainable use and ii) Restore degraded coastal ecosystems, which are particularly relevant for climate change adaptation. Component 2 will i) promote climate resilient and sustainable livelihoods in PECCA (Zanzibar) and Tanga-Mkinga (Tanzania) and ii) Enhance the knowledge, expertise and capacity of relevant national agencies to use Ecosystem-based Adaptation (EbA) approaches for climate resilient coastal zone management in Tanzania.

¹ As the Grievance Mechanism has already been established, implementation refers to the use, responsiveness and monitoring of the Grievance Mechanism.

As such, grievances that may arise include those pertaining to conflict between local communities and law enforcement agents, access restrictions & livelihood issues.

Livelihoods: Adverse impacts on people's livelihoods could occur, especially to vulnerable groups, if they do not meaningfully participate or are not effectively engaged by the project team. Some project affected persons might disagree with the targeted beneficiaries of the project activities. A lack of preparation ahead of any new activity/approach could result in unrealistic expectations of communities/beneficiaries in relation to what the project proposes. There could be unfair/unbalanced reward/compensation of field activities, related to HR policy for project's and contractors' personnel or to fieldwork allowances for community members involved.

Access Restrictions: There could be a disproportionate loss of, or decrease in means of livelihoods due to new or newly enforced restrictions of access to fishing grounds or mangrove areas. There could be increased and/or displacement of fishing pressure to the neighbouring areas resulting in broader intra-community conflict. There could be disproportionate adverse impacts on women and marginalised groups as a result of the new resource access restriction

Communities and Law Enforcement: Tensions/conflict could occur within and across coastal communities as a result of enforcing access restrictions. There will be a gradient of enforcement of laws (from community-led enforcement of fisheries legislation through to government rangers enforcing laws relating to the management of MCAs at PECCA and TMRS).

Day to day management of the Grievance Mechanism

In the project MWAMBAO-MCCC are the lead implementing partner, with responsibility for the implementation of the project's ESMS. FFI will provide training, mentorship, development of supporting policies and procedures and oversight of all aspects of the ESMS including the Grievance Mechanism.

Guiding Principles

It is essential that potential Project Affected Persons understand and have confidence in the grievance mechanism. For this, we will follow the subsequent guiding principles:

1. Trust
 - Grievances will be acknowledged and handled in a prompt and efficient manner
 - Confidentiality related to the grievant will be maintained
2. Transparency
 - The process of lodging and handling grievances will be made clear to all project participants, especially: what constitutes a grievance, methods for raising grievances, who can raise grievances, how are complaints handled and responded too and timeframes
3. Accessibility
 - Verbal, written and anonymous complaints will be accepted via phone call, written message or in person.
 - The GM will be actively made available to all stakeholders regardless of location within the project zone, language, socioeconomic position, gender, age and literacy level
4. Fairness and impartiality
 - Grievances will be treated respectfully whether it is felt the complaint is justified or not
 - Grievances will be treated in an objective manner, both process and outcomes are equally important

Preventative mechanisms for avoiding the incidence of grievances arising in the first place are a key component in the project and beyond. As will be further defined in the Stakeholder Engagement Plan during the project inception, this will include, continuous dialogue and periodic meetings with stakeholders at all levels of engagement (from elected government representatives, local communities, local authorities, and NGOs). Such meetings aim to facilitate communication, ensure consultation and transparency and reduce the potential for misunderstanding and grievances. Regular meetings

between the project staff and local communities will be used to document emerging concerns/issues and to advise project implementation.

1.1 Purpose of the Grievance Mechanism

A Grievance Mechanism is a free, open and accessible mechanism, principally designed for Project Affected People, and accessible to all project stakeholders, project staff (including contractors and their workers). It is part of a suite of a safeguard instruments that accompany the Project's ESMP. The ESMP outlines the environmental and social management commitments that FFI and MWAMBAO-MCCC will implement to manage potential negative impacts and enhance potential positive impacts of the project. The Grievance Mechanism helps FFI and MWAMBAO-MCCC understand whether there is a potential breach of the Blue Action Fund ESMS principles, standards and procedures and commitments set out in the ESMP. If the grievance submitted is determined to be eligible (Section 2), a process is then followed to identify the root cause of the grievance and ensure that issues of non-compliance with the ESMS are rectified. Some grievance cases may require remedial actions to redress potential harm resulting from failure to respect the ESMS provisions or preventative measures to avoid repetition of non-compliance.

Specifically, this Grievance Mechanism aims to:

- Guide FFI and MWAMBAO-MCCC in addressing complaints comments, questions, concerns and suggestions from Project Affected People and other rightsholders and stakeholders, related to the project and its activities in a fair and transparent, and practical manner;
- Identify and manage stakeholder concerns and thus support effective risk management for the project;
- Provide stakeholders fearing or suffering adverse impacts from the project with the assurance that they will be heard and assisted in a timely manner;
- Build and maintain trust with all stakeholders thereby creating an enabling environment in which to operate; and
- Prevent adverse consequences of failure to adequately address grievances.

As such, the Grievance Mechanism does not intend to substitute for any existing grievance procedures (e.g., those established by the Protected Area authorities), but instead complement and build on existing procedures, while ensuring that FFI and MWAMBAO-MCCC can identify, register (see Section 6 and Annex F.1) and respond to grievances appropriately. This Grievance Mechanism reflects and operates under the good practice principles illustrated in Figure 1 below.

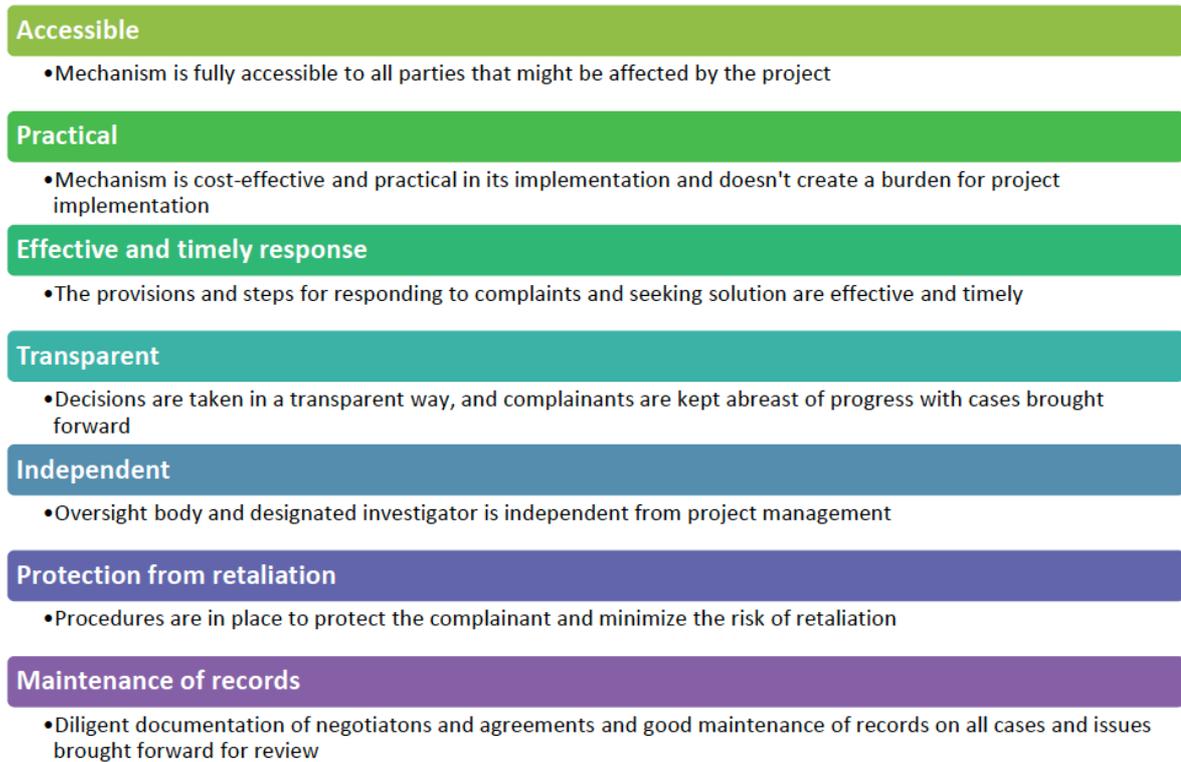


Figure 1: Good practice of the ESMS Grievance Mechanism (Source: IUCN 2020a).

2. Eligibility

FFI and MWAMBAO-MCCC area working on establishing the eligibility criteria for the Grievance Mechanism. During the first three months of the Project, eligibility criteria will be finalised. In this version of the Grievance Mechanism, criteria of eligible grievances include:

- Any community, organisation, project stakeholder or affected group (including individuals) who believe it is or may be negatively affected by any project activities implemented by FFI and MWAMBAO-MCCC, and/or owing to the project's failure to follow the Blue Action Fund and FFI and Environmental and Social Safeguards and other compliances as set out in the ESMS, during the design or implementation of the Project activity is considered a "Project Affected Party" and is entitled to submit a complaint;
- Negative impacts can include all forms of project impact, including direct and indirect impacts of project activities. As with the scope of application of the Blue Action Fund ESMS, negative effects are not restricted to the activities of FFI or MWAMBAO-MCCC, but include the effects of activities of project partners² (including collaborating project partners) that are financially or technically supported by FFI;

² Note that in these cases, where the Project cannot effectively respond to a grievance because it is related to a government partner, and it is outside of the lead NGOs mandate to respond to such grievances, the grievance can be registered (see Annex F.1), and the government partner informed of the nature of the grievance. The affected party would be informed of the mandate

- Representatives (a person or local organisation) can submit a complaint on behalf of a Project Affected Party, but they must provide concrete evidence of authority to represent them; and
- Anonymous complaints will be considered.

The current criteria for ineligible grievances include:

- Complaints with respect to actions or omissions that are not technically or financially supported by the Project, or about parties that are not partners or collaborating partners in the Project;
- Complaints about issues outside of the Project scope, including outside of the Project Area of Influence;
- Complaints filed:
 - After the date of official closure of the project; or
 - 18 Months after the date of the official closure of the Project in cases where the complaint addresses an impact resulting from project activities that was not, and reasonably could not have been, known prior to the date of official closure.
- Complaints that relate to the laws, policies, and regulations of Zanzibar and Tanzania, unless this directly relates to FFIs and MWAMBAO-MCCCs obligation to comply with the Project's ESMS principles, standards and procedures;
- Complaints that relate to FFIs and MWAMBAO-MCCCs non-project-related housekeeping matters, such as finance, human resources and administration; and
- Complaints submitted by the same claimant on matters they submitted to the Grievance Mechanism earlier, unless new evidence is provided, or the project has not responded to this complaint in the timeframe illustrated below (Section 3).

Each grievance will be reviewed by MWAMBAO-MCCCs ESMS Officer and FFIs ESMS Technical Specialist in order to determine if it is eligible or ineligible. If the complaint is not eligible, the MWAMBAO-MCCC ESMS Officer will inform the complainants stating the reason for ineligibility and this will be documented (See Annex F.1 for Grievance Register Template).

Project staff and contractors:

In addition to Project Affected Parties, this Grievance Mechanism should be available for project staff, including contractors and volunteers working in key positions. FFI must ensure that its contractor(s) use this Grievance Mechanism and that it is made available to all their personnel. This will be included in all contracts and agreements that FFI enters into with contractor(s). All workers will be informed of the grievance procedures and new workers will be informed when they join the project. Information on contact points will be posted on staff information boards and on-site information boards.

of the lead NGO and directed towards the appropriate channels to report the grievance to the government partner. The project will take this into consideration when planning activities, particularly in regard to law enforcement and access restrictions relating to PECCA. Currently there have been recent changes to the management structure of PECCA and a watching-brief will be maintained for the feasibility of encouraging and supporting partners to establish or improve Grievance Mechanisms.

3. Grievance Procedures

The grievance resolution procedure for the Project comprises 3 stages, described in the next sections. In order to be practical and cost-effective, resolution of complaints should be sought at the lowest possible level. This procedure aims to address stakeholder concerns promptly, effectively and transparently.

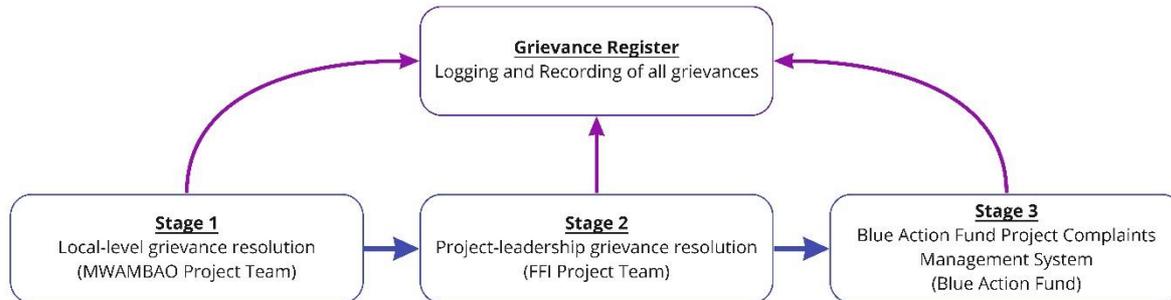


Figure 2: The three-stage grievance procedure.

The best approach to resolving grievances involves FFI, MWAMBAAO-MCCC and the Project Affected Party reviewing the conflict and deciding together on a way forward that advances their mutual interests. This reflects the fact that local and country authorities often have better information on and understanding of the causes of disputes arising from project implementation. ‘Deciding together’ approaches are usually the most accessible, natural, unthreatening and cost-effective ways for communities and project management to resolve differences.

Stage 1: Local-level resolution sought

Grievance procedures

Please refer to Annex F.1 for the project Grievance Register which serves as a record of the grievance procedures.

Submission of a grievance:

- a) Stakeholders/ Project Affected Parties shall be able to use the following methods to submit a grievance:
 - I. Verbally (in person or via telephone) via project information hotline or to a member of project staff;
 - II. SMS/ text messages;
 - III. By email to the project field offices, MWAMBAAO-MCCCs office in Pemba, Tanga, Unguja or FFI’s office in Nairobi.
 - IV. In writing via Grievance Boxes, located at each District town where the project is implementing activities and outside project offices.
- b) The details of the ways in which project grievances can be submitted will be given on signs in each ward/village where the project is being implemented.
- c) The grievance is then recorded and classified in the project Grievance Register (electronic) by the responsible staff of MWAMBAAO-MCCC (ESMS Officer) (see Annex F.1). This register will be stored on secure cloud-based storage accessible only to the responsible staff members, and not shared with outside parties³.

³ In some cases, sharing the Grievance Register with an outside party can be required. For example, in the case of Blue Action Fund project evaluation. In these cases, personal information should first be redacted from the register, and the terms of the

- d) When submitting a grievance, the complaint should include the following information [responsible project staff will support complainants submitting verbal complaints to include all of this information]:
- I. Complainant's name and contact information;
 - II. If not filed directly by the complainant, proof that those representing the affected people have authority to do so;
 - III. The specific project or program of concern including location;
 - IV. The harm that is or may be resulting from it;
 - V. The relevant social policy or provision (if known);
 - VI. Any other relevant information or documents (e.g., date of event);
 - VII. Any actions taken so far (if any) to resolve the problem;
 - VIII. Proposed solution; and
 - IX. Whether confidentiality is requested (stating reason).
- e) The complaint can be submitted either in English or Swahili. If the grievance has not been submitted anonymously and regardless as to whether confidentiality is requested, at the registration stage the identity of the complainant(s) will be known only by the ESMS staff of FFI and MWAMBAO-MCCC, or the project staff member working in the field site who has handled the case directly. When working to resolve the case, the identity of the complainants will be kept within a smaller group as possible to assure protection against retaliation.

1. Acknowledgement and addressing the grievance:

- a) The grievance is formally acknowledged through a personal meeting, phone call, email or letter as appropriate, within 10 working days of submission. If the grievance is not well understood or if additional information is required, clarification should be sought from the complainant during this step.
- b) The MWAMBAO-MCCC ESMS officer and FFI ESMS Technical Specialist will jointly investigate the eligibility of the grievance, including whether it is related to a contractor. Then, depending on the type and validity of the grievance, they will refer it to the appropriate 'responsible staff member'. The root cause will be investigated and the risk category (i.e., the risk that the grievance poses to the Project Affected Person and to the Project is ranked as high, medium or low) identified.
- c) A response will be developed by the responsible staff with input from others, as necessary. In some situations, it will be more appropriate to resolve any grievances through traditional governance structures and conflict resolution processes involving traditional and local authorities. Community members traditionally resolve grievances through village elders, local community leaders or through local government by engaging the District Council. FFI and MWAMBAO-MCCC staff members can be involved in this process, and/or act as a mediator if invited and/or required by traditional authorities but cannot take responsibility for resolving the grievance in this circumstance. Depending on the nature of the grievance, and if it is not able to be resolved through traditional processes, it will be passed to either local authorities (depending on the nature of the grievance) or the project conflict resolution committees for Pemba or Tanga. The conflict resolution committees will include FFI and MWAMBAO-MCCC staff, District Councils, MPRU, DMC, Department of Fisheries, TFS/DFNRNR, DoE and community leaders.
- d) Throughout the grievance resolution process, required actions implemented to deal with the issue, and completion of these, will be recorded in the grievance register.

sharing and use clearly stated. The World Bank Environmental and Social Framework (2017) also requires that during the course of the Project, a record documenting the responses to all grievances received is made publicly available: this record can be based on the Grievance Register, but removing all personal information.

- e) Once finalised, the response is logged by the responsible staff who has been leading on resolving the grievance on the grievance register. Any associated correspondence regarding the finalised response will be filed with the grievance.
- f) Once logged, the response is then communicated to the affected party. The staff responsible for addressing the grievance will ensure that a suitable approach to communicating the response to the affected party is agreed and implemented. The response to the grievance will be provided 20 working days after receipt of the grievance.
- g) The responsible staff should use appropriate communication channels to confirm whether the complainant has understood and is satisfied with the response that has been provided by the project. The complainants' reaction to the response will be recorded in the Grievance Register and used to assess whether the grievance is closed or whether further action is needed.
- h) If the Project Affected Person is satisfied with the response, there will be written confirmation that the grievance has been closed satisfactorily jointly signed by the Project Affected Person and the responsible project staff and this will be recorded on the Grievance Register
- i) If the Project Affected Person is not satisfied with the response, Stage 2 of the Grievance Mechanism will be triggered.

Stage 2: Submission to FFI Project Leadership

Where the response of any grievance through Stage 1 is considered unsatisfactory to the aggrieved party, a stakeholder can lodge a complaint with FFI's ESMS Technical Specialist.

1. FFI will devise a plan and timeframe to re-investigate, which will be communicated to the complainant, ideally within 15 business days of the complaint being logged.
2. The FFI team will then look into the matter, with additional technical support if required (e.g., from MWAMBAO-MCCC, or an independent third party). Based on the results, the team will then work with concerned parties to develop and implement an action plan and timeframe to resolve any issues.
3. A summary of the concern raised, actions taken, conclusions reached, follow up plan and timeframe for completion will be documented (in the Grievance Register) and communicated as agreed between the parties. FFI and MWAMBAO-MCCC will facilitate support to further clarify, assess, and resolve further issues, as needed.

In cases where issues are not being properly addressed by the grantees, a stakeholder can directly submit a grievance to the Blue Action Fund (Stage 3 below).

Stage 3: Submission to Blue Action Fund Project Complaints Management System

In the event of serious complaints or those that cannot be resolved promptly, FFI is obligated to inform the Blue Action Fund of the details. In addition, Blue Action Fund maintains a separate channel of communication open to local stakeholders in the event that issues are not being properly addressed by the grantees. Blue Action's own institutional Grievance Mechanism is located on the Blue Action Fund website ([here](#)).

FFI may provide mediation as an option where Project Affected Parties are not satisfied with the proposed resolution. Ultimately, stakeholders may turn to court in accordance with the existing legislation of the host country, and this grievance procedure should not impede access to other judicial or administrative remedies that are available under the Law.

Table 1: Contact details to be provided on communications regarding the project Grievance Mechanism

	Step 1: Local Project Team	Step 2: National <Lead NGO>	Step 3: Blue Action Fund
Name	TBC	TBC	To Whom it May Concern
Position	ESMS Officer, MWAMBABO-MCCC	ESMS Technical Specialist, FFI	ESMS Officer
Email	tbc	Tbc	Tbc
Phone	Tbc	Tbc	Tbc
Address	tbc	tbc	Tbc

A template for the Grievance Form is presented in Annex F.2.

4. Informing Stakeholders about the Grievance System

For the Grievance Mechanism to be effective and accessible, FFI and MWAMBABO-MCCC will take active steps to inform all relevant project stakeholders of the existence and scope of the Grievance Mechanism and about the relevant provisions of the ESMS. It is vital that stakeholders are aware of the eligibility criteria for a grievance and the mechanism for grievance submission. This will be completed during the first quarter of project implementation.

FFI and MWAMBABO-MCCC will align the Grievance Mechanism procedures with good international practice, meaning it will be:

- **Accessible:** All field offices and field staff will have information on the Grievance Mechanism and how to register complaints; all stakeholders will have information on the Grievance Mechanism and how to register complaints;
- **Practical:** The mechanism established ensures that it is simple and viable and does not create a burden for project implementors or project stakeholders;
- **Transparent:** Decisions will be taken in a fair and transparent manner and the complainants will be kept updated of the process;
- **Independent:** The oversight body and designated team will be independent from project management where the grievance/ complaint originates; and
- **Time Bound:** The process for resolution will be comprehensive and completed in a timely manner.

This will be done by translating the Grievance Mechanism into Swahili ensuring that the information is delivered in a culturally appropriate way reaching all relevant stakeholder groups, including women and vulnerable groups. Various methods will be used to raise awareness about the Grievance Mechanism and procedures including verbal communication through consultation meetings and trainings, as well as at local offices in the project area(s) in Pemba, Tanga and Unguja.

Accessibility also requires that complaint submission, handling and recording is designed in such way that stakeholders have confidence in the mechanism and that procedures are in place to protect complainants from any form of retaliatory action, including provisions for disciplinary or other appropriate action in case of violations of this principle. FFI and MWAMBABO-MCCC will ensure that all stakeholders are aware of this. Taking these issues into account will be a key part of the further refinement and finalisation of the Grievance Mechanism in the inception phase.

5. Serious Incident Reporting

FFI will report all serious incidents caused by or related the Project that have or could have significant negative impacts on people or on the environment, to the Blue Action Fund. The purpose of reporting serious incidents is to ensure that appropriate responses and corrective actions are taken in a timely manner in order to minimise, mitigate and/or remedy the impacts as well as to avoid repeat occurrences.

A serious incident in this context is defined as: “any unplanned or uncontrolled event with a materially adverse effect on workers, community members or the environment within the project’s Area of Influence or events that have the potential to have material or immaterial adverse effects on the project execution or give rise to potential liabilities or reputational risks” (IUCN 2020b, Reporting Serious Incidents). Serious incidents can include, for example:

- Fatalities, serious injuries and accidents at work;
- Fatalities, serious injuries and accidents affecting local communities and others;
- Violations of human rights, including sexual and gender-based violence and harmful child labour;
- Forced evictions;
- Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence; and
- Environmental impacts – to be further defined in project inception with advise from Blue Action

As such, and due to the risks of association, serious incidents that relate to collaborating partners that the project technically or financially supports, should also be reported to Blue Action Fund if they occur in the project area, even if they are not directly related to a project activity. In this case as a grievance hasn't been lodged by a Project Affected Person the report to Blue Action fund will be outside of the Grievance Mechanism and register process.

In the case of a serious incident, the incident will be reported by FFI to the Blue Action Fund Project Manager and the Blue Action Fund ESMS Coordinator within 48 hours of FFI receiving information of the incident occurring. In cases where detailed information is not immediately available, a draft report will be prepared by FFI and submitted, with a more comprehensive update being prepared once the details have been established. The report will state whether the incident will be subject to a formal inquiry, criminal investigation or legal proceedings to determine the circumstances of the incident, responsibilities and root causes.

If the incident is not subject to a formal inquiry or legal proceedings, the detailed report will follow the template provided in Annex F.3 (Serious Incident Report), including:

- A detailed description of the incident and its effects on workers, local communities, the environment etc.;
- An analysis of the root-causes, covering the management and control measures that were in place at the time and any failings identified in regard to management or procedures; and
- Details of any response provided, actions taken to remedy the situation, and to prevent its recurrence.

If the incident is subject to a formal inquiry or legal procedure, the findings of the inquiry will subsequently be summarised, using the template in Annex F.3, along with a link to and/or an electronic copy of the inquiry's final report, if it is made available to the public. FFI will inform Blue Action Fund about any ongoing or future issues related to the incident that may require attention, such as grievances, claims for compensation or other legal action taken by the victims' families.

6. Maintaining Records and Monitoring Actions

All grievances, whether eligible or not, need to be recorded in a Grievance Register (Annex F.1). This register will document all complaints, suggestions, comments, questions submitted by stakeholders in a categorical way under five main headings:

1. Grievance registration: including subject of complaint, description of complaint and eligibility criteria;
2. Acknowledgement: MWAMBAO-MCCC and/or FFI acknowledges receipt of the grievance within 10 working days;
3. Investigation (of eligible grievances only): MWAMBAO-MCCC and/or FFI investigates the root cause, whether the claim is true or false and proposes corrective actions;
4. Response: MWAMBAO-MCCC and/or FFI provides a response to the complainant; and
5. Close out: MWAMBAO-MCCC and/or FFI closes the grievance once it has been adequately addressed and remedied and a response provided to the complainant.

Agreed action plans will establish timeframes for regular process monitoring towards resolution of the grievance. The ESMS Technical Specialist (FFI) and ESMS Officer (MWAMBAO-MCCC) will coordinate the monitoring by organising periodic checks, bringing together the concerned parties and relevant technical advisors for meetings or other communication on the status of action plants, until they are

completed. FFI and MWAMBAO-MCCC will assess the effectiveness of this complaint's resolution process on an annual basis and identify any needs for improvement.

The Grievance Mechanism and accompanying excel spreadsheet (Grievance Register) should be maintained, saved in a secure place and updated regularly. Examples of basic indicators commonly used to monitor and evaluate the effectiveness of a Project's Grievance Mechanism are listed below, and all can be monitored simply through use of the Grievance Register template and serious incident forms:

- Number of grievances received and recorded (disaggregated by eligible and ineligible) during the reporting/ review period;
- Number of grievances acknowledged on time/not acknowledged on time, including why;
- Number of grievances where the investigation was/was not completed on time, including why;
- Number of grievances resolved and unresolved.
- Number of serious incidents;
- Number of serious incidents still open (inquiry or corrective actions on-going) and closed.

Annex F.1: Grievance Register Template

See attached excel sheet, Annex F.1, the Grievance Register template.

Annex F.2: Template for Public Grievance Form

Public Grievance Form	
Reference No. (assigned by Implementation Partner):	
Please enter your contact information and grievance. This information will be dealt with confidentially. Please note: If you wish to remain anonymous, please enter your comment/ grievance in the box below without indicating any contact information – your comments will still be considered.	
Full Name	
Anonymous submission	<input type="checkbox"/> I want to remain anonymous
Please mark how you wish to be contacted (mail, telephone, e-mail).	<input type="checkbox"/> By mail (please provide mailing address): <hr/> <input type="checkbox"/> By telephone (please provide telephone number): <hr/> <input type="checkbox"/> By e-mail (please provide e-mail address): <hr/>
Preferred language for communication	<input type="checkbox"/> Swahili <input type="checkbox"/> English <input type="checkbox"/> Other, please specify: _____
Description of incident or grievance:	What happened? Where did it happen? Who did it happen to? What is the result of the problem?
Date of incident/grievance: _____	<input type="checkbox"/> One time incident/ grievance (date _____) <input type="checkbox"/> Happened more than once (how many times? _____) <input type="checkbox"/> On-going (currently experiencing problem)
What would you like to see happen to resolve the problem?	

Please return grievance form to ESMS Officer, MWAMBAAO

Annex F.3: Template for a Serious Incident Report

Source: IUCN 2020b

Serious Incident Report	
General Information	
Project name, country, region	
Executing Agency	
Person and agency submitting the information	
Organisations, agencies and/or companies involved in the incident	
Details of the people affected, status (e.g., if they are working as rangers, volunteers, etc.), names, ages, gender. Details of the community or communities involved	
Details of the Incident	
Date and time the Incident occurred	
Location	
Type of Incident	<i>Fatalities, serious injuries and accidents at work</i> <input type="checkbox"/>
	<i>Fatalities, serious injuries and accidents affecting local communities and others</i> <input type="checkbox"/>
	<i>Violations of human rights or accusation of human rights violations, incl. sexual and gender-based violence and harmful child labour</i> <input type="checkbox"/>
	<i>Forced Eviction</i> <input type="checkbox"/>
	<i>Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence</i> <input type="checkbox"/>
	<i>Environmental incidents</i> <input type="checkbox"/>
Detailed chronological description of the Incident and its circumstances (if possible, with photos)	
Root Cause Analysis	
Detailed description of key causal factors (internal and external), potential management failings and identification of absent/ inadequate/ failed/ unused management and control measures	

Serious Incident Report			
(e.g., non-compliances with ESMS standards or measures)			
Specification of relevant roles and responsibilities of the agencies, authorities and others involved			
Reaction to the incidents by the victims, involved families or communities as well as local/ national/ international media			
Agency or agencies responsible for investigation of the case. What is the scope of the investigation? Does this include a root cause analysis?			
Response and Corrective Actions			
Description of the response (if available) and agencies involved			
Description of any corrective actions, plans or next steps to prevent the incident from recurring or follow up to close the case or proceed with further investigations (include action plan with responsibilities and schedule)			
Incident Report Approval			
	Position	Name	Date
Prepared by			
Approved by (Blue Action Fund ESMS Coordinator)			