



SECAP

**ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN
(ESMP)**

**Standard Operating Procedure (SOP)
for handling
Grievances and Redressal Mechanism**

Table of Contents

Sl. No.	Particulars	Page No.
1.	Introduction	1
2.	Objectives of GRM	1
3.	Approach to Establishing GRM	1
4.	Scope of GRM	2
5.	Composition of GRM	2 – 4
6.	Grievance Reporting Procedures	4 – 6
7.	Disclosure of the Grievance Redress Mechanism	7
8.	Monitoring of GRM Process	7
9.	Helpline Service for receiving Grievances	11

List of Figures

Fig. No.	Title of Figures	Page No.
1.	Grievance Redress Mechanism Process & the Timeline at each Stage	5
2.	Receipt, Registration, and Tracking of Grievances	6

List of Annexure

Sl. No.	Title of Annexure	Page No.
1.	Sample Grievance Registration Form	8
2.	Environmental Management Practices (EMP) & Labor Management Practices (LMP)- Codes of Conduct	9 – 10
3.	ESMP Matrix	12 - 17
4.	Grievance Redress Mechanism Logbook	18
5.	Working Mechanisms for SoCRAN on Sexual Harassment at Workplace	19 – 24
6.	Feasibility site survey format for market access facility	25 - 26

Abbreviations

AP	Aggrieved Person
BLFC	Block Level Field Coordinator
CAHW	Community Animal Health Worker
CRPs	Community Resource Persons
DLGO	District Level Grievance Officer
Dy.SPD	Deputy State Project Director
EIA	Environmental Impact Assessment
EMP	Environmental Management Practices
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
FIR	First Information Report
FOCUS	Fostering Climate Resilient Upland Farming Systems
GBV	Gender Based Violence
GRC	Grievance Redressal Committee
GRM	Grievance Redress Mechanism
GRMC	Grievance Redress Mechanism Committee
IC	Internal Committee
ICC	Internal Compliance Committee
Kg	Kilogram
LMP	Labor Management Practices
M&E	Monitoring & Evaluation
MIS	Management Information System
NTFP	Non - Timber Forest Products
PC	Project Coordinator
SECAP	Social Environment & Climate Assessment Procedures
SHG	Self-Help Group
SLGO	State Level Grievance Officer
SMP	Social Management Practices
SoCRAN	Society for Climate Resilient Agriculture in Nagaland
SOP	Standard Operating Procedure
SPD	State Project Director
VC	Village Chairman
VLGO	Village Level Grievance Officer
VPGs	Village Producers Groups

Definitions of Key Terms

Environmental Impact Assessment – Examines the social and environmental consequences of the project prior to execution and provides information to decision makers and the public about the environmental implications of proposed actions before decisions are made

Complaint or grievance – Complaints or grievances refers to allegations of specific incidents and of any damage, impact or dissatisfaction resulting from actions, whether perceived or actual.

Grievance Redress Mechanism – The GRM is a “non- judicial” process that seeks to resolve non-judicial disputes arising out of various matters related to the implementation of the environmental and social safeguards, as well as other aspects of the project.

District Level Committee – A committee created under the project as first stage of grievances redress mechanism at the district level.

Project Management Unit – An institutional arrangement set up for the overall management of the project will act as second and final stage of grievance redress mechanism at the project level.

1. INTRODUCTION

FOCUS project attempts to incorporate a policy and mechanism for preparedness and mitigating possible Environmental and Social Impacts as a result of the project’s activity

interventions. The project has developed the Social, Environment & Climate Assessment Procedures (SECAP) which guided the development of the Environmental & Social Management Plan (ESMP) for the project. As part of the ESMP, the project has established Grievance Redressal Mechanisms (GRM) to receive and facilitate resolution of stakeholders' concerns and grievances about the social and environmental performance at project level. It should address peoples' concerns and complaints promptly, using an understandable and transparent process that is gender responsive, culturally appropriate, and readily accessible to all segments of the community. The aim of the Grievance Redress Mechanism (GRM) will be to provide a time – bound and transparent mechanism to voice and resolve complaints of the people in a sensitive manner.

2. Objectives of GRM

GRM will be a platform for people and communities affected by development projects under FOCUS project. Its objective is to facilitate mechanisms that are legitimate, reliable, transparent and cost effective to enable people to present their grievances and find solutions. This SOP manual presents a set of guidelines for designing and implementing GRM that can address a variety of grievances arising from the project.

The GRM shall be an officially “non-judicial” process that will seek to resolve non-judicial disputes arising out of various matters related to the implementation of the environmental and social safeguards, as well as others aspects of the project, as may deemed fit to be raised. The fundamental objectives of GRM are to resolve any social and environmental related grievances locally in consultation with the aggrieved party to facilitate smooth implementation of the project. The GRM will focus on corrective actions that can be implemented quickly and at a relatively low cost to resolve identified implementation concerns.

3. Approach to Establishing GRM

A common Grievance Redress Mechanism (GRM) for social and environmental complaints has been proposed to be in place for the project. Environmental Impact Assessment (EIA) related grievances will follow the GRM described below, which is developed culturally appropriate manner and in line with the IFAD safeguard policy requirement.

The GRM will provide an accessible platform for receiving and facilitating resolution of affected persons' grievances related to the social and environmental issues of the project. This redress mechanism process can be extended to address other project related grievances. Grievances of affected person/group can be conveyed through visit, phone or email. The grievance redress procedure and the timeline to redress at respective level is depicted in Figure 1. (Annexure 1 provides sample of Grievance Registration Form and Action taken report).

In order to accommodate the language barriers in accessing the GRM, the project will ensure that awareness on the GRM procedures to be conducted in respective regional languages. The communities will be assisted by the Block level committee in registering the grievances.

The GRM will adopt principle of Confidentiality whereby the AP's identity will not be disclosed beyond the Redressal Mechanism tiers. Additionally, the GRM will accept anonymous grievances from complainants. All members of the Grievance Redressal Committees and those assigned for record keeping as well as any staff members questioned in relation to any issue at hand will be bound by the principle of confidentiality.

4. Scope of GRM

Different types of grievances surface at different stages of the project cycle, eg., during project design and planning, during project implementation or during project operation phase.

The GRM will:

- Consider only those grievances that has linkages to or bearing on the project- the Labor Management Practices management and Environmental Management Practices Codes laid as part of the ESMP (Refer Annexure 1 & 2) and the ESMP matrix (Refer Annexure)
- Review, consider and resolve grievances related to social and environmental aspects of the project received by the different committee devised for GRM;
- Resolve grievances within a specified period set out in the document;
- Arrive at decisions through consensus as far as possible. Any decision made by the GRM must be within the purview of project framework and entitlements;

The GRM will not address matters such as:

1. Right to Information (RTI)- Filing of RTI has its own mechanism under the RTI Act, therefore it will not be covered under the ambit of GRM
2. Employment & other personal benefits- The GRM will not register any applications/ complaints on matters of seeking employment or any application related to seeking benefits beyond the approach and mandate of the project or for personal gains
3. Village disputes & conflicts- conflicts and disputes arising within village will not be registered as Grievance
4. Any undertaking or activity not related to the project- any matter which does not fall within the purview of the project's design and plans will not be registered as grievance
5. Any matters pending in the court of law

5. Composition of GRM

Tier of GRM

1st Tier – Block/Village Grievance Redressal Mechanism

The Block/ Village Grievance Mechanism Committee will be constituted which will act as the first level of receiving and redressal of Grievances. This committee will comprise of the following members:

- i. Block Level Field Coordinator, FOCUS as Chairperson & Ex-officio for Block Level GRM
- ii. Lead Farmer as member Secretary & Village Level Grievance Officer (VLGO)
- iii. CAHW as Member
- iv. Chairperson of Village Farmer Group as Member
- v. Chairperson of Village Council as Member

Roles & Responsibilities

- i. Conduct awareness building of communities on the GRM procedures. The trainings are to be conducted in respective regional languages.
- ii. Assist communities or Ap's in registering the grievances.

- iii. Maintenance of Grievance Registers and Regular update on the status, reporting to DMU on a monthly basis
- iv. Registration of grievances received
- v. Assess the grievances received as per the scope of coverage laid in the SOP and process for redressal
- vi. Ensure informing the aggrieved parties about the developments regarding their grievances and any action/ decision taken by the committee
- vii. Assign members to undertake site visits to assess grievances raised as and when needed
- viii. Ensure grievances registered are resolved within 7 days of receipt of complaint
- ix. Refer unresolved grievances to the next tier if cases are beyond the capacity of the committee

2nd Tier- District Level Grievance Redressal Mechanism

The District Level Grievance Mechanism Committee will be constituted which will receive direct grievances as well as receive referred cases from the first tier. This committee will comprise of the following members:

- i. District Project Manager/ DAO, FOCUS as Chairperson & Ex-officio for District Level GRM
- ii. District Project Officer, FOCUS as member Secretary & District Level Grievance Officer (DLGO)
- iii. Assistant Manager Planning/M&E/MIS, FOCUS as Member
- iv. Junior Engineer, FOCUS as Member

Roles & Responsibilities

- i. Maintenance of Grievance Registers and Regular update on the status, reporting to PMU on a monthly basis
- ii. Registration of grievances received
- iii. Assess the grievances received as per the scope of coverage laid in the SOP and process for redressal
- iv. Ensure informing the aggrieved parties about the developments regarding their grievances and any action/ decision taken by the committee
- v. Assign members to undertake site visits to assess grievances raised as and when needed
- vi. Ensure grievances registered are resolved within 7 days of receipt of complaint
- vii. Refer unresolved grievances to the next tier if cases are beyond the capacity of the committee
- viii. Regular updating of the ESMP matrix – activities, assumed risks, action taken and close monitoring of the implantation arrangement laid in the matrix

3rd Tier – State Level Grievance Redressal Mechanism

The State Level Grievance Mechanism Committee will be constituted which will receive referred cases from the second tier. This committee will comprise of the following members:

- i. Deputy State Project Director, FOCUS as Chairperson & Ex-officio for State Level GRM
- ii. Manager Community Institutions, FOCUS as member Secretary & State Level Grievance Officer (SLGO)

- iii. Project Coordinator, FOCUS as Member
- iv. Technical Assistant S&WC, FOCUS as Member
- v. Manager Market Linkage, FOCUS as Member

Roles & Responsibilities

- i. Hold quarterly review meetings on the status of grievances received and action taken
- ii. Regular updating of the ESMP matrix – activities, assumed risks, action taken and close monitoring of the implantation arrangement laid in the matrix
- iii. Provide recommended actions and alternat for grievances
- iv. Follow up of pending issues with the respective tiers of GRC
- v. Field visits (if required)
- vi. Complainants visit (if required)

6. Grievance Reporting Procedures

6.1. Meeting Schedule of GRCs

- 6.1.1. Block/village level and District level GRM Committee will meet once in a month and minutes of the meeting will be taken by any one of the GRM Committee members and reported to the State Level GRM Committee
- 6.1.2. State level GRM Committee will be held quarterly (once in three months), however meetings may be conducted as per the requirement & need basis. Minutes of this meeting will be prepared by the Member Secretary/ State Level Grievance Officer which will be circulated to all tiers of GRM Committee.
- 6.1.3. The complaints & grievances would be addressed through the following sequence:
 - The APs or communities may access the GRM mechanism through telephonic, letter or mail to the Block/ Village level GRM Committee for registering the grievances.
 - The Block/ Village level GRM Committee shall make proceedings for the grievance and make efforts to resolve the grievance within 7 days of registering the complaint.
 - If Block/ Village level GRM Committee is unable to resolve the grievance, the case shall be forwarded to the next tier District Level GRM Committee with adequate reason for inability. The district level GRM Committee shall resolve within 14 days of receipt of referral from Block/Village Level GRM Committee.
 - If District level GRM Committee is unable to resolve the grievance or the grievance needs redressal at higher level, the grievance shall be referred to the State level GRM Committee with adequate reasons.
 - Grievances referred to State level GRM Committee will be resolved within 21 days from the receipt of referral from the District Level GRM Committee.
 - If the APs is not satisfied with the redressal, they may pursue further to submitting their case to other appropriate legal mechanisms in place. The Project GRM shall have no bearing on the case henceforth

Figure 1: Grievance Redress Mechanism Process & the timeline at each stage

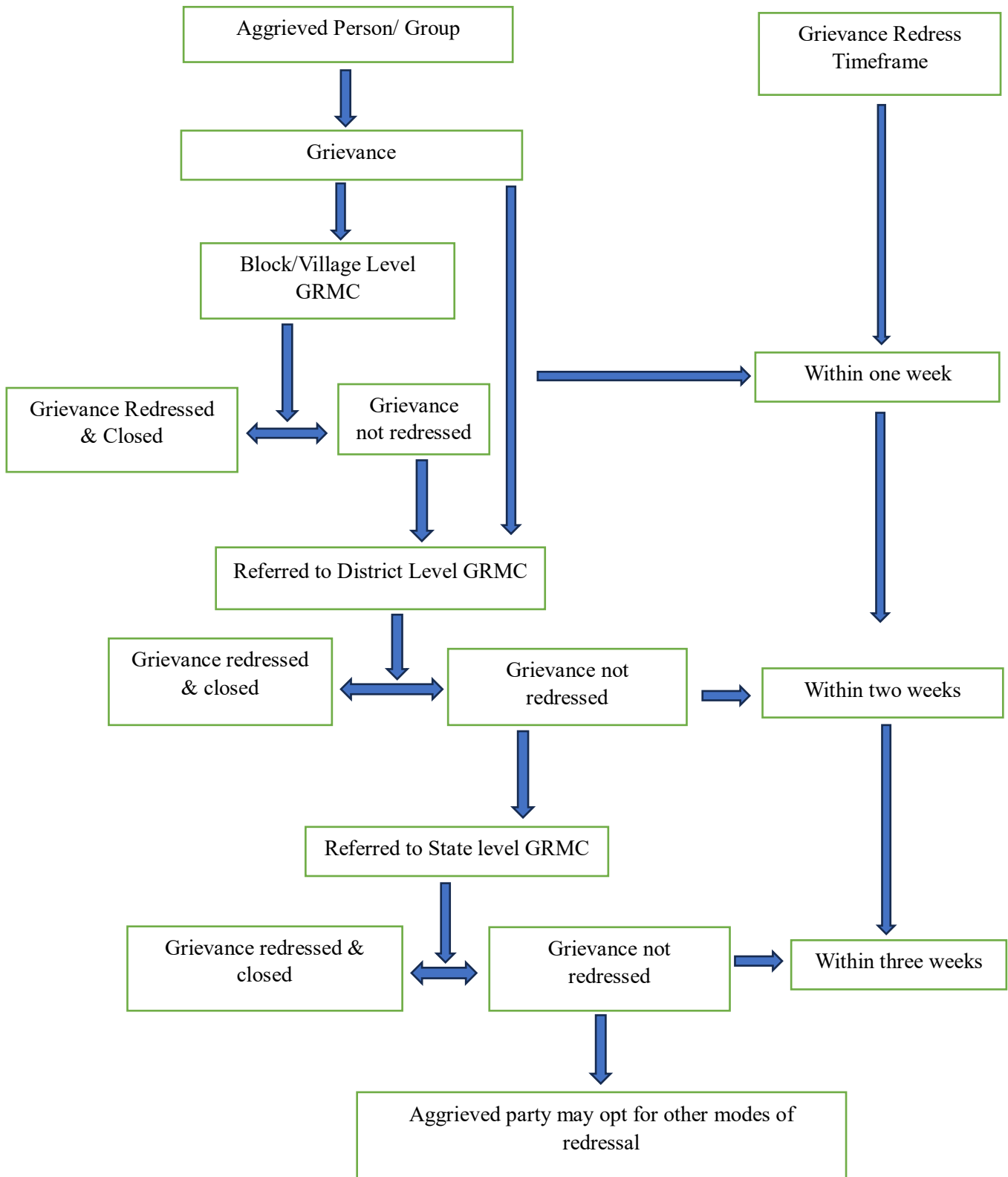


Figure 2: Receipt, Registration, and Tracking of Grievances

GRIEVANCE RECEIPT AND RECORDING

<p>9 Page</p> <p>Complaints received through third parties</p>	<p>Complaints received by project staff directly involved in handling grievances</p>	<p>Complaints received through staff or employees that have direct contact with communities (if authorized)</p>
--	--	---

7. Disclosure of the Grievance redress Mechanism

The true benefit of grievance redress mechanism can be accrued only if the process is widely known among the people of the State. Therefore, disclosure and wider publicity of grievance redress mechanism of the project will form an important part of the awareness campaign strategy devised in the project. The methods that will be adopted for disclosure of grievance redress mechanism are:

- GRM procedures and operational rules will be publicized widely through community meetings and pamphlets in the local language so that people are aware of their rights and obligations, and procedure of grievance redress.
- As part of the community awareness exercise, the GRM process will be explained to the village level committee members and the people in general. Also, the process will be displayed at the important places such as village community hall etc, and on the project website.

8. Monitoring of GRM Process

Like the other project components, GRM process shall be monitored to ensure that the stakeholders are having no or limited issues with the project and in case there are concerns, they are being adequately addressed as per the mandate. The mechanism shall be integrated in the monitoring framework of the project and shall follow the same reporting timeline. Thus, this shall be aligned with project monitoring rather than doing it separately all the time. The format suggested for registering of grievances will form the basis of data collection and monitoring purpose.

Status of grievances received and resolved will be tracked through monthly reporting from the GRM Committee tiers.