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DEVELOPMENT COOPERATION



Kingdom of the Netherlands

FINANCING LOCALLY
LED CLIMATE ACTION
(FLLoCA PROJECT)

FLLOCA PROJECTS
GRIEVANCE REDRESS
MECHANISM

IN THE COUNTIES

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ACRONYMS

CAJ	Commission for Administrative Justice
CCU	Climate Change Unit
CCCU	County Climate Change Unit
CECM	County Executive Committee Member
COG	Council Of Governors
E&S	Environmental And Social
FLLOCA	Financing Locally Led Climate Action
GBV	Gender based Violence
GRM	Grievance Redress Mechanism
NTPIU	National Treasury Program Implementation Unit
PCA	Protection Against Child Abuse
PMC	Project Management Committee
SEAH	Sexual Exploitation, Abuse and Harassment

GRIEVANCE MECHANISM FOR FLLOCA PROJECTS

1 Introduction:

a) Background

An appropriate grievance redress mechanism is implemented as an effective tool for early identification, assessment, and resolution of complaints which may arise during FLLOCA Program subproject implementation. An effective grievance mechanism therefore has the ability to identify minor incidents affecting project beneficiaries before they escalate into unmanageable conflicts (World Bank, 2018).

FLLOCA projects adopt a functional grievance redress mechanism to respond to concerns/claims/grievances from the members of the public in relation to the project operations as well as environmental and social performance of the project in a timely manner. For this purpose, the proponents of FLLOCA project (Counties) shall implement a grievance mechanism to receive and facilitate resolution of such concerns/claims/grievances.

The grievance mechanism adopted should be proportionate to the potential risks and impacts of the project and is accessible and inclusive for use during the project cycle. The GRM mechanism enables Counties to receive complaints from project-affected people and communities and serves as a facilitation platform for the response to such grievances by providing support to departments, project teams and communities to address the issues raised in a quick and effective manner.

b) GRM Focal Person

There is a designated GRM focal person with a dedicated GRM desk at the county level to provide a single entry point to submit complaints directly to the Government, and ensures the county's responsiveness and accountability.

c) Country /County Systems to be used

The grievance mechanism **utilizes existing County formal or informal grievance mechanisms**, supplemented as needed with FLLOCA project-specific arrangements. Every County implements a Local GRM System Specific to the County developed under county legislation adopting the frameworks set up during the KDSP 1. The CAJ also developed and provided a **Policy on Complaints Handling for use by Counties**. The purpose of the mechanism is as follows:

- To address concerns promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all project-affected parties, at no cost and without retribution.
- To provide alternative dispute resolution mechanisms
- To prevent unnecessary resort to judicial or administrative remedies.

d) GRM Awareness and Procedures in County Website and Service Charters

For a functional grievance redress mechanism, accessibility and general awareness of the system is essential. This will therefore call for sensitization forums and strategies to raise awareness on the mechanism among the members of the public. The awareness will target how to raise concerns/claims/comments/grievances on any matter concerning the project, processes that is followed for reception and resolution of the issues raised, the grievance focal person that will be in charge of the grievances and the turnaround time. The **focal person** works with the direction and facilitation of the CECM for Climate Change in the County or the Designate to promote public awareness of the GRM system.

FLLOCA project proponents (the County or Communities) shall prepare awareness materials for example posters and brochures to raise awareness on the types of the complaints that can be raised through the system, focal points and contact address and grievance procedures as a guide on how grievances would be managed by the project

The grievance redress mechanism also calls for community engagement activities, and **will make publicly available a record documenting the responses to all grievances received** (while ensuring confidentiality). Handling of grievances will be done in a culturally appropriate manner and be discreet, objective, sensitive and responsive to the needs and concerns of the members of the public. The mechanism will also allow for anonymous complaints to be raised and addressed.

A summarized version of GRM Procedures shall be located on the **County Website** with an inbuilt facility for feedback and complaints lodging. The turnaround for grievance resolution shall also be displayed in the County Service Charter.

2. Types of Complaints/Grievances Anticipated

Grievances may arise from members of the public who are dissatisfied with the consultations, PCRA, Sub-project selection and implementation processes, Environmental and Social concerns during construction, environmental degradation, and biodiversity concerns among others. The grievances will also arise from workers employed by the contractors procured for sub-projects especially those from the local community. Cases of GBV/SEAH and PCA will also be received. This GRM will address all grievances including those from the workers.

3. Grievances related to GBV/SEAH or PCA

GBV/SEAH refers to the potential for Gender-Based Violence (GBV) and Sexual Exploitation, Abuse, and Harassment (SEAH) to occur FLLOCA projects, particularly impacting women and girls.

a) GRM Safeguarding mechanisms:

There shall be a separate mechanism within the County GRM for handling and clear reporting pathways for GBV/SEAH concerns and provision support to survivors. The PIU All GBV/SEAH cases shall be reported to the PIU who shall escalate to World Bank within 24 hours.

b) Protection against child abuse (PCA)

This involves preventing and responding to abuse, neglect, and exploitation of children. There shall be a separate mechanism within the County GRM for handling child protection measures. Any PCA case must be reported to the PIU within 24 hours.

4. The Principles of the GRM System

- i. GRM is easily accessible, cost free, restitution free, timely in resolution and makes provision for additional special measures for vulnerable persons to access the process;
- ii. GRM takes account of, and not impede, access to judicial or administrative remedies;
- iii. Grievances will be tracked and accessible on a single database for immediate reference
- iv. Civil Society Organizations and institutions (including community systems) will be involved in the resolution process
- v. Requirements for capacity building for grievance committees in relation to mediation and resolution of grievances.

5. Grievance Redress System Adopted for Counties

The Program has adopted a five tier grievance redress system that ensures incorporation of key stakeholders in the reporting, reception and resolution of grievances. This approach will enhance transparency and accountability as well as ensure that the system is people centred and therefore functional and supporting the project in enhancing sustainability and social acceptability of the interventions and the project.

FLLoCA Projects will be managed from the office of **CEC for Climate Change** who shall therefore be chiefly responsible for **resolution of all FLLoCA project related grievances**. The County Executive Committee Member (CECM) in charge of Climate Change at the County can delegate to other officers under them. The Grievance Focal Person Shall work under and with the facilitation of the CECM.

There shall be **complaints/grievance boxes** at every project site and at the County offices.

The grievance focal officer is responsible for managing complaints. Complaints shall be received in multiple formats including:

- (i) In person reports – a complainant can walk grievance handling office and complete a complaints form.
- (ii) The community complainant may also directly report the incident to CCCU or WCCU grievance committees or their appointed representatives who will facilitate the report to the CECM's office for redress.
- (iii) Phone calls by use of a designated telephone line to be broadly disseminated to all key stakeholders;
- (iv) Short message system (SMS) on the designated line and managed by the responsible officer;
- (v) Social media channels including Facebook, WhatsApp or twitter accounts managed by CCCU
- (vi) The FLLOCA Website will provide links that allow a complainant to lodge a complaint which the officers responsible will forward to the CCCU in a given County.
- (vii) The project will also institute some complaints boxes at the designated National and County government offices

6. Alternative Dispute Resolution and the Courts

The Grievance Redress Mechanism provides an opportunity to use alternative dispute resolution mechanisms for resolving cases at the community level before they are escalated to the courts of law. This structure facilitates easy access to the lowest level of redress, with room for progression to higher levels depending on the ability or inability to resolve the complaint. Once a formal complaint has been received, the procedure illustrated in Figure below is used to process it within a period of 15 days.

The complainant is also free to report the case to the Ombudsman's office (CAJ) or to the courts of law in the land if he/she feels that the Project procedures are not working in his/her favor.

The grievance officer in this mechanism oversees reception and documentation of all complaints, and coordination of resolution processes. This is intended to provide a free and accessible grievance mechanism for any one affected. This mode of reporting ensures that all grievances that are reported in the community are referred to the Grievance Officer for logging, and redress processing.

7. Grievance Handling Process

Grievance redress requires a systematic approach through which a step-wise procedure is followed and the responsibility for handling is assigned to specific individuals, competent and adequately empowered for the task. These steps are:

a) Lodging of Complaints:

This is the step where a complaint is made. A complaint can be lodged in an individual's own name or on behalf of another person. A group, organization or institution can also lodge a complaint. A county should provide designated places or offices or persons where complaints will be lodged.

Ways of lodging a complaint include:

- ✓ *In person (persons with disability will be assisted to lodge the complaints)*
- ✓ *Complaints on behalf of persons unable to lodge complaints*
- ✓ *Online via email, website, web posting, or a complaints management information system (CMIS) if it is available in the county*
- ✓ *Telephone*
- ✓ *In writing, including Braille*
- ✓ *Text messages*
- ✓ *Social media*
- ✓ *Any other mode as may be determined by the county*

Besides the complaints lodged through the modes stated above, counties are expected to also take up the following complaints:

- ✓ *Own motion matters: this is where a county picks up own motion matters that are relevant to their mandate, for instance issues exposed through the media.*
- ✓ *Anonymous complaints: these are complaints presented by people who do not wish to have their identity known. Such a complaint should be treated as a complaint to the county and should be addressed without seeking to know the complainant.*
- ✓ *Complaints originating from reports, including social audits: these ought to be addressed and feedback given to the public.*

Pertinent issues in handling complaints at this stage:

- ✓ *Complaints received must be recorded in a register.*
- ✓ *All complaints that are not in writing, shall be recorded in writing by the receiving officer.*
- ✓ *All complaints received must be acknowledged appropriately within seven days.*
- ✓ *A county shall not charge any fee for lodging /receiving and determination of complaints unless expressly permitted to do so by law.*

b) Receipt and Acknowledgement of Complaints:

Upon receipt of a complaint, the complaint handling officer shall assign it a reference number, which should be made known to the complainant for tracking purposes.

c) Documentation of the Complaint:

For every complaint received, a record comprising of the following particulars shall be made: name, address, contacts, next of kin, age, gender, county, reference number of relevant file or matter (if any), the nature of the complaint (what, who, when, where etc.), parties involved, relevant dates and action taken. Where necessary, accompanying documents must be recorded and indexed.

Each county will be expected to establish a database of complaints containing particulars of the complainant, the nature of the complaint, parties involved, relevant dates, action taken and any other details related to the specific complaint. All documents relating to complaints shall be kept in safe custody and a record of the chain of custody shall be maintained. Complaints records shall be maintained for at least six years as required by law.

d) Assessing the Complaint:

An initial assessment of the nature and gravity of the complaint shall be made by the receiving or front office officer to allow for categorization into minor, moderate and major. This should be followed by prioritization to avoid the lumping together of simple, easy-to-resolve complaints with complex time consuming ones. It also allows an effective allocation of complaints to the most relevant officers, leading to faster processing and resolution of the matter.

Complaints should also have assessed for admissibility. Admissibility refers to the fact of being considered whether satisfactory. This involves the review of complaints to determine whether they are within the mandate (functions, conduct, services) of the county. Other factors that may be considered to determine admissibility would be: whether a complaint is already being handled by another competent institution, e.g. the courts; and, the period within which a complaint is lodged, based on the timelines that may be determined by the county.

e) Action:

When the process for determining admissibility is completed, a file will be allocated to an action officer or referred to the relevant body or institution if not within the functions of the county. An inquiry into the complaint will then be conducted to verify the facts and other details of the complaint before action is taken. At this stage, the respondent should be contacted to give a response to the lodged complaint.

f) Investigation: Where investigation is required, it should be properly planned for with a clear indication of the time and resources required. The planning should clearly establish what is to be investigated, what evidence will be gathered, who is to be interviewed, documents to be recovered, the expectations of the complainant and also whether the complaint has special considerations to

be taken into account — issues such as the security of the complaint, confidentiality, or available evidence that should be dealt with at the planning stage.

The investigation should be for the purposes of establishing the facts and exploring options for resolution. The investigation itself should be carried out in an impartial manner. Confidentiality should be maintained and great care taken to ensure that the complainant's privacy is protected and their safety is not endangered through exposure of his or her identity.

- g) **Review/authentication of evidence:** Both the complainant and respondent must be treated fairly and given the chance to advance/respond to claims/allegations and/or produce any relevant evidence. The parties shall be given adequate opportunity to be heard before the designated complaints officer. Parties may object to the hearing of their complaints by officer/s that they suspect may be biased against them. All matters shall be handled in a manner that complies with the Constitution and the laws of Kenya.
- h) **Responding to/resolving the complaint:** Resolving the complaint involves addressing the issue(s) complained about and offering the best possible remedy in the circumstances. The complaint should be handled in an impartial and objective manner. An officer who has any interest in the matter shall disqualify themselves from handling the case. Complex matters may involve mediation, negotiation or conciliation. The complaints handling officer should have an open mind and examine the evidence objectively.

The remedies for addressing the complaints should be clearly set out and the parties should all be aware of the possible solutions. The complaints handling officers should be empowered to provide the remedies at the appropriate levels, i.e. front office. The complainant should be informed of the decision reached and reasons should be given for the decision by the complaints officer. Any decision reached should be communicated within 30 days.

- i) **Closing the file:**
Once a decision is arrived at, it shall be communicated to the complainant and the respondent and other interested parties. The complaints database shall be updated to reflect the decision made.
- j) **Appeal Process:**
The complaints mechanism should have an appeal or review provision for those who are dissatisfied with the decision of the complaints officer of first instance. The appeal or review process should be simple and fast. It is important for the action officer to document what they consider to be the root cause of the complaint as a way of preserving knowledge.

8. GRM Infrastructure

The County Climate Change Unit (CCCU) together with Ward Climate Change Planning /Implementation Committees implementing FLLoCA activities at County level are the focal points for resolving grievances during sub project implementation stage. Existing grievance frameworks developed under KDSP will be adopted as appropriate.

GRM should be in place in all respective counties during implementation of sub projects. These infrastructure entails the following.

- a) **Institutional Framework:** the GRM for FLLOCA should be anchored under the office of the County Executive Committee Member (CECM) responsible for Climate Change. In Counties where there is a CECM for Public Service and Administration and a Directorate of Civic Education and Public Participation already handling these, these will be closely engaged.
- b) **Chief Grievance Management Officer:** Shall be the CECM Climate Change or his delegated Chief Officer. It is recommended that the CO leads with powers officially designated for accountability by the CECM for Climate Change
- c) **Grievance Focal Person:** Every CECM Shall designate one Grievance Management Focal person who shall be dedicated to ensuring receipt, documenting, processing, resolution and closure of grievances. This officer shall coordinate other focal persons as may be appointed at the Ward, Sub County and county Level.
- d) **Grievance Desk and a Grievance Register:** Every County shall have a dedicated Grievance Desk and a Grievance Register managed on a day to day basis by the Grievance Focal Person.
- e) **Budget:** A county should their own dedicated budget for grievance handling and implementation of the Access to Information Act.
- f) **Internal and external awareness:** a county should give adequate training to the officers handling GRM to ensure that they can undertake the role efficiently. The county should also create public awareness on the existing channels for lodging grievances and accessing information.
- g) **Service Charter:** Handling of grievances should be based on the county's customer service charter specifying the County's commitment to provide excellent services to all her customers and set out the standards of service that one should expect when dealing with the county and its staff. The Customer Service Charter should have a segment on grievance redress where the rights and responsibilities of customers and the procedure to follow if the county's service standards are not met as outlined.
- h) **Committees:**

Coordination of grievance redress in the County will require a Technical Committee. Suggested members are:

- *Chief Officer, Climate Change- Chair*
- *Chief Officer, Public Administration and Public Participation*
- *Director, Climate Change*
- *Civic Education and Public Participation (committee secretary)*
- *County Attorney or Representative*
- *Four (4) directors - lands, environment, finance, social services*
- *A county will be expected to coopt additional members depending on the issues under discussion.*

Roles of the committee

- *Promote the sensitization of staff and other stakeholders on complaints handling.*
- *Coordinate complaints handling and access to information activities in the county and report to the governor*
- *Process requests for access to information*
- *Coordinate Civic Education on GRM and access to information*
- *Make referrals for cases outside the GRM mandate*
- *Ensure proactive disclosure of information held by the county*
- *Monitor, evaluate and review complaints handling activities in the organization*
-

i) **Elaborated County GRM Infrastructure:**

The GRM outlook entailed in figure below provides for the integration of committee establishments/structures for grievance handling. The committees have been embedded stakeholders from the grass route to the National level for mediation and provisions of ADR within the project. The five tier approach to grievance handling also ensures that there is a continuous avenue to follow in the event that the issue is not satisfactory addressed at a previous tier or level. The Tiers are as follow

1. The Project Level PMC
2. First Tier – Ward Climate Change Unit Grievance Committee
3. Second Tier – CCCU grievance committee
4. Third Tier – CECM Climate Change /Governor
5. Fourth Tier – FLLOCA PIU/COG
6. CAJ/ Court of law

j) **Description of the County GRM Infrastructure:**

(i) Project Level Project Management:

This is the committee or persons (RE, Project Manager, or Project Management Committee (PMC),) in charge of the day-today supervision and management of a project during implementation. The secretary to the committee is also the GRM Desk of the project while the entire committee is the first link of grievance handling. The Committees play a critical role in escalating challenges, complaints of their representatives concerning a project. Each project shall have a GRM log to track complaints from beginning to closure

(ii) Ward based GRM Committee:

This is the committee at the Ward composed of the respective administrator , technical departments and the Ward development officer who check into an escalated grievance

from the Project level PMC and closely links to the project site. It will also have Non State Actors and CSO's representatives.

(iii) County GRM Desk:

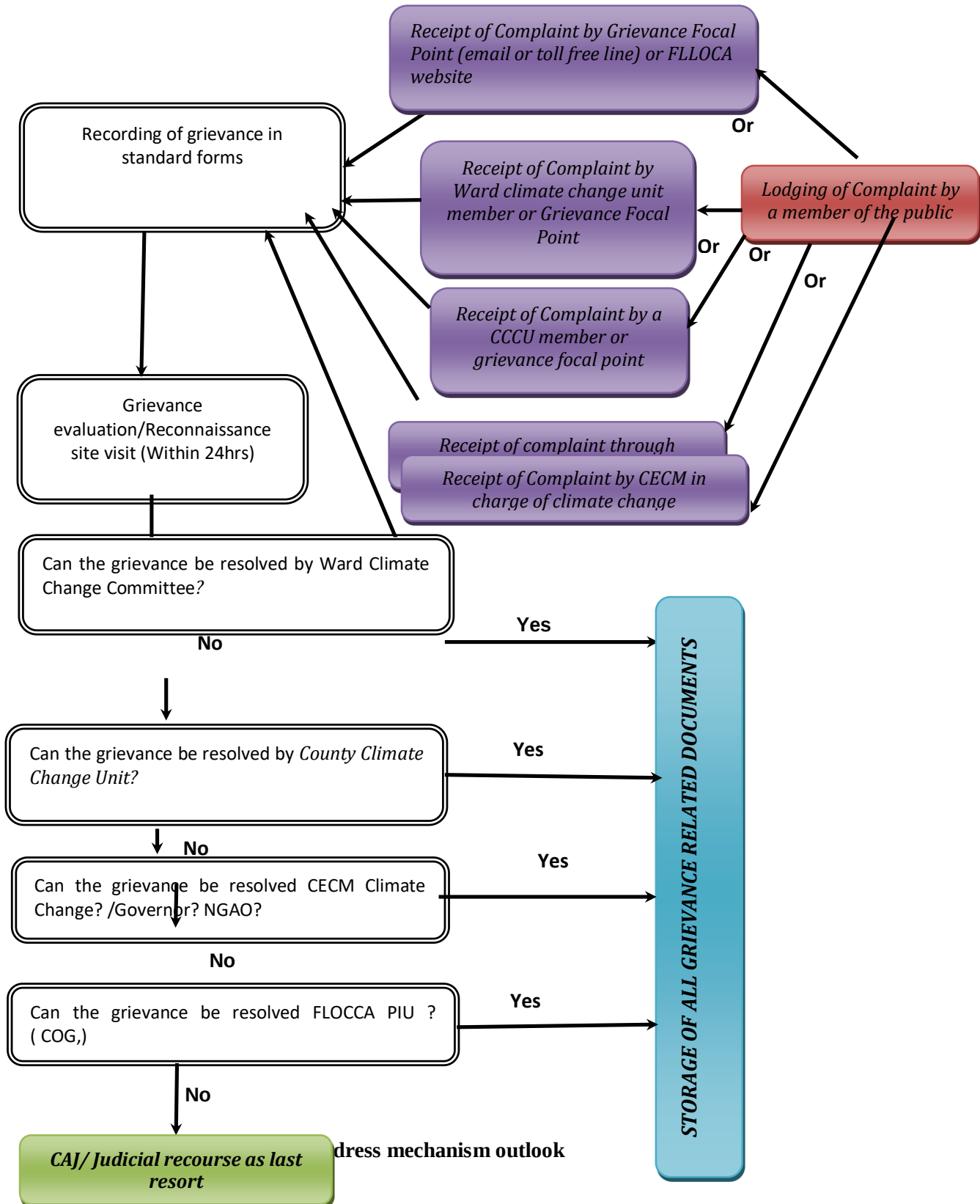
This is a one-stop GRM office with a full time GRM focal person designated. In reference to GRM, they are responsible for overall tracking of grievances to ensure departments, decisions and resolutions lead to conclusion. The officer is also charged with ensuring capacity development for all levels of GRM committees and desks. The one stop GRM desk at the County level therefore facilitates the GRM process through the receipt of complaints, capacity building of communities on the GRM framework, tracking, following up and documentation of complaints best for the continuous improvement of GRM mechanisms

(iv) County GRM Steering Committee:

This is the overall GRM committee chaired by Chief Officer Climate Change and is crucial for determining GRM decisions that require policy, budgetary/ fiducial and higher management discussions. It will also have Non State Actors and CSO's representatives in the Climate Action. The CECM Climate Change and County Governor also may intervene before it leaves the County System.

(v) PIU and the National Treasury

The PIU will monitor the entire process and will intervene in grievances of major consequence requiring National Level intervention



7. Training

It is responsibility of the CCCU Technical committee to ensure properly trained persons to manage grievances. Upon request, NTPIU can provide train/induct the GRM Focal Person, Committees, E&S Focals and any other stakeholder to strengthen their capacity, skills, knowledge and enhance the awareness of GRM and ways of implementing equitable and inclusive approaches in GRM implementation within the Counties

8. Monitoring, Evaluation and Reporting

Monitoring, reporting and evaluation are critical in assessing the effectiveness of the GRM management activities. The CCCU will facilitate the monitoring, reporting and evaluation of results. The PIU will gather this data from the various levels of grievance resolution. The CCCU as well as the NTPIU will require all the actors in the GRM value chain to support in the monitoring, reporting and evaluation function.

a) Monitoring

Monitoring will involve tracking grievances and assessing the extent to which progress is being made to resolve them, based on the following output indicators.

- Number of pending cases at the beginning of the month.
- Number of new complaints and grievances.
- Number and percentage of closed/resolved cases.
- Nature/category of complaints/grievances.
- Number of closed complaints acknowledging a fair process.
- Number of closed complaints and grievances with acceptance of outcome.
- Number and percentage of complaints/grievances resolved within 20 days.
- Total number or percentage pending (i.e., up to 20 days).
- Number or percentage late (i.e., beyond 20 days).
- Average resolution time and complaint resolution trends.

b) Evaluation

Evaluation will involve analyzing grievance data and using it to make policy decisions. This will be done PIU in conjunction with the GRM focal and will evaluate strategy for efficiency, effectiveness, impact and sustainability.

c) Reporting

The CCCU shall ensure reporting of the GRM activity and Monitor and Evaluate the implementation of the grievance redress mechanism to track and assess achievements. It shall monitor frequency of grievances and status of the resolution including tracking status of escalated grievance. There will be monthly and quarterly monitoring reporting of the GRM

implementation done in every County by CCCU for the CECM Climate Change and shared with the NTPIU.

d) Frequency of Monitoring and Reporting

The GRM Focal Person shall in liaison with the M&E Focal Person ensure submission of the reports at the following intervals:

- (i) Monthly - by the 15th of the following month;
- (ii) Quarterly - by 15th after the end of quarter; and
- (iii) Annual - within 30 days from the end of the financial year.

Key templates and to assist in documenting the information attached to this guide are:

Appendix 1: GRIEVANCE HANDLING REGISTER TEMPLATE

Appendix 2: GRM_ACCESS TO INFORMATION REGISTER TEMPLATE

Appendix 3: GRM_COMPLAINT INVESTIGATION TEMPLATE

Appendix 4: GRM_GRIEVANCE LODGING FORM

Appendix 5: GRM_ACCESS TO INFORMATION REQUEST FORM

Appendix 6: GRIEVANCE MANAGEMENT AND ACCESS TO INFORMATION INFRASTRUCTURE

Appendix 7: GRM_ M&E TOOL

Appendix 8: GRM_ SUMMARY COMPLAINTS' REPORTING FORM

APPENDICES AND GRM TEMPLATES



REPUBLIC OF KENYA
THE NATIONAL TREASURY AND ECONOMIC PLANNING
FINANCING LOCALLY-LED CLIMATE ACTION (FLLoCA) PROGRAM

GRM TEMPLATES AND FORMS

TEMPLATE 1: STANDARD GRIEVANCE LOG/REGISTER
(to be filled in Excel Doc- Extracted from the Physical County GRM/Complaints Register)

[illegible]

TEMPLATE 2: GRM_ACCESS TO INFORMATION REGISTER TEMPLATE

No.	Date Received	Name of Requester	Ref	Type of information Requested	Requisition Channel	Request Status	Date decision was communicated

TEMPLATE 3: GRM_COMPLAINT INVESTIGATION TEMPLATE

No.	Complaint Issue	Root Cause of Complaint	Decision Arrived at	Corrective/Preventive Action Taken	Date of completing investigation

TEMPLATE 4: GRM_GRIEVANCE LODGING FORM

REF NO

1. Grievance Recording Desk

Project level: ☐ *Ward Committee* ☐ *County Level* ☐ *Other* ☐ *Please describe*
.....

2. Name of Person Raising Grievance: (information is optional and always treated as confidential)

Gender: ☐ *Male* ☐ *Female*

Please indicate if acting on Representative Capacity

Information for Person Raising Grievance: (information is optional and confidential)

ID *Age*

E-mail *Phone*

Postal Address: *Ward/ Village*

Occupation: *Disability (Yes/ No):* *If yes, type of disability:*

Member of Vulnerable/Minority Group ... (Yes/ No): *If yes, describe:*

Please Confirm if Acting on Representative Capacity

Location where grievance/problem occurred (write in detail)

County	Sub County	Ward	Location	Village
Category of Grievance:				
☐ Environmental safeguards, social issues including gender, labor and resettlement	☐ Grievances regarding violations of policies, guidelines and procedures	☐ Grievances regarding contract violations	☐ Grievances regarding the misuse of funds/lack of transparency, or other financial management concerns	☐ Grievances regarding abuse of power/intervention by project or government officials
☐ Grievances regarding staff performance	☐ Reports of force majeure	☐ Suggestions	☐ Appreciation	
Brief Description of Grievance or Inquiry: <i>(provide as much detail and facts as possible)</i>				

Please include any other information that you consider relevant, other matters or facts, including supporting documents:

Please suggest preferred settlement/resolution for the complaint to be closed. (what corrective action would close the grievance?)

Do you request that identity be kept confidential?

☐ Yes

☐ No

2. Previous Efforts to Resolve the Complaint

Have you raised your complaint with the grievance mechanism of the County Climate Change Unit (CCU) or the WCCCU?

☐ Yes

If YES, please provide the following:

- When, how and with whom the issues were raised.
- Please describe any response received from and/or any actions taken by the CCU level grievance mechanism. Please also explain why the response or actions taken are not satisfactory.

☐ No

If NO, why not?

3. Information on Authorized Representative.

(If Authorized Representatives are not complainants themselves, their names will be disclosed as needed, in order to ensure transparency).

Name	Positions/Organizations	Addresses	Contact numbers	E-mail addresses
<i>Gender:</i> ☐ <i>Male</i> ☐ <i>Female</i>				

Please provide evidence of the authority to represent the complainant which must include the complainant's signature.

Do you request that identity be kept confidential?

☐ Yes

☐ No

Has this matter been the subject of court proceedings? YES/NO

If NO, please give a brief summary of your complaint and attach all supporting documents (Indicate all the particulars of what happened, where it happened, when it happened and by whom)

Place of Submission

Signature of Complainant

Date

SECTION C: For Official Use

Name of Receiving Officer

Date

Action taken

.....
.....
.....

SECTION D: Acknowledgement Slip

Ref. No.

Date of lodging complaint.....

Place of submission.....

Signature of receiving officer.....

TEMPLATE 5: GRIEVANCE CLOSURE FORM

GRIEVANCE REF NO

3. Grievance Recorded ON

4. Name of Person/Organization Raising Grievance:

Brief Description of each Grievance or Inquiry and Proposed Resolution

Agreed Settlement/ Resolution to Close Each Grievance

Ser	Grievance /Complaint	Agreed Resolution/Settlement
1		
2		
3		
4		
5		
6		
7		

Additional Agreements

SIGNATURES OF THE PARTIES CONFIRMING ACCEPTANCE OF RESOLUTION & CLOSURE OF GRIEVANCE

FOR the Complainant

Name:

Designation

Signature & Date

FOR the COUNTY GOVERNMENT

Name:

Designation

Signature & Date

TEMPLATE 6: GRM_ACCESS TO INFORMATION REQUEST FORM

(To be filled in duplicate)

Ref. No.

SECTION A: PERSONAL DETAILS

Requester's Name: Nationality:
Gender (Male/ Female/Other): ID Number: Age:
Postal Address: Village/Ward/Sub-County:
Mobile No. Email (where applicable)
Occupation: Disability (Yes/ No): If yes, type of disability:
Member of Vulnerable/Minority Group (Yes/ No):..... If yes, describe:

SECTION B: Complaint Information

SECTION B: DESCRIPTION OF INFORMATION REQUESTED

ITEM	DESCRIPTION
Type of information requested for	
I would like to (<i>tick all that apply</i>)	☐ Inspect the record ☐ Listen to the record ☐ Have a copy of the record availed to me
Delivery Method (<i>tick where applicable</i>)	☐ Collection in person ☐ By email ☐ By mail
Does the information requested concern the life or liberty of any person?	☐ No ☐ Yes (<i>explain</i>)
Is the request being made on behalf of another person or group of persons?	☐ No ☐ Yes (<i>explain</i>) ☐ No ☐ Yes (<i>explain</i>)

Place of Submission Signature of Applicant

Date

SECTION C: For Official Use

Name of Receiving Officer

Date

Decision taken

.....

Date of communicating decision

.....

SECTION D: Acknowledgement Slip

Ref. No.

Date of making request.....

Place of submission.....

Signature of receiving officer.....

TEMPLATE 7: GRIEVANCE MANAGEMENT AND ACCESS TO INFORMATION INFRASTRUCTURE

No.	INDICATORS	DETAILS OF IMPLEMENTATION
1	Physical location: Provide the contact and physical address	Include the details of all GRM/ATI offices.
2	a. Provide names, contact details (Official telephone & e-mail address) and designation of officers in-charge of Grievance handling b. Provide names, contact details and designation of the Information access officers	Include details for all the GRM/ATI offices.
3	Communication channels: a. Complaint desk email(s) e.g. grievance@countyemail.co.ke b. Dedicated telephone line(s) c. Official email address of the county d. County website (Links/portals to access information and grievance handling information) e. Official e-mail address of the County Secretary	Include details of dedicated complaints email address(es), telephone line(s) and official email address for the county, website/ portal link and
4	Updated service delivery charters that include GRM & ATI provisions	Include the service charters for all the departments and agencies
5	a. Complaints/Grievance Register b. Access To Information Register	Include the registers of all GRM/ATI offices but for internal purposes only

6	County GRM Policy and Procedures	State whether the county GRM policy and/or procedures are in place
7	County ATI Legislation, Policy and Procedures	State whether the county ATI legislation, policy and/or procedures are in place
8	a. Grievance Handling Committee members: appointment letters & minutes of meetings held b. Designation letters for all Information officers	Provide evidence of the committee members appointments and minutes of meetings, and also designation letters for county information access officers

TEMPLATE 8: GRM_ M&E TOOL

Name of County: _____

M&E report for the period: _____

<i>OUTCOME: Improved efficiency in handling complaints and grievances</i>						
<i>INDICATOR: Percentage change in the complaints/grievances resolved in a month</i>						
Nature/Types of complaints received	No. of complaints received	Modes of complaints lodge	No. of complaints resolved	No. of complaints pending	Duration taken to resolve complaint	Recommendation for system improvement

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Date

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Signature

Date

TEMPLATE 9: GRM _ REPORTING FORM

Name of County: _____

Reporting Period: Monthly/Quarterly/Annually _____

OUTCOME: <i>Improved efficiency in handling complaints</i>						
INDICATOR: <i>Percentage change in the complaints resolved in a year (to be reported once per year)</i>						
Grievance Type	No. of Grievances Received	Resolved		Pending		Average duration taken to resolve complaint
		No.	%	No.	%	

Report

Narrative Report on key issues

- Please provide a brief narrative report analyzing the grievances in the period under review noting key challenges and how they were resolved.
- GBV/SEAH cases reported -Please add key notes on any GBV, SEA cases reported and escalated as well as any major Incident in the reporting period.
- Access to information cases-Any requests for access to information should be noted.
- Court Cases and other referrals to CAJ or WB -All court cases should also be captured as well as referrals to other government departments.
- Any lessons and recommendations

This report accompanies submission of comprehensive grievance log/register

Compiled by

Signature

Date

Approved by

Signature

Date

