

**Checklist to accompany the Guidance Note for ESS10:
Stakeholder Engagement and Information Disclosure**

This Checklist provides guidance for the Borrower on the application of the Environmental and Social Standards (ESSs), which form part of the World Bank's 2016 Environmental and Social Framework. Checklists help to illustrate the requirements of the ESSs and propose sample approaches to implement some of the requirements of the ESSs; they are not Bank policy, nor are they mandatory. Checklists do not substitute for the need to exercise sound judgment in making project decisions. In case of any inconsistency or conflict between the Checklists and the ESSs, the provisions of the ESSs prevail.

Grievance Redress Mechanism Checklist

The appropriate level of complexity of a project's Grievance Redress Mechanism (GRM) depends on the risks and impacts of the project and the project context. The following checklist describes a complex GRM that adheres to good international practice, which may not be necessary for all projects. Nevertheless, this checklist helps to determine whether a grievance mechanism conforms to good international practice.

A. System issues

- | | | |
|--|--------|-------|
| 1. Does the project invite feedback/grievances? | Yes___ | No___ |
| 2. Does the organization have a policy on grievance redress? | Yes___ | No___ |
| a. Is the policy available to all staff, beneficiaries, and potential users? | Yes___ | No___ |
| b. Is the policy written in the local language(s)? | Yes___ | No___ |
| 3. Does the grievance mechanism have the following features? | | |
| a. A clearly understood procedure for people to provide feedback and/or submit grievances. | Yes___ | No___ |
| b. A statement of who is responsible for dealing with feedback/grievances. | Yes___ | No___ |
| c. Procedures for resolving or mediating and investigating grievances depending on their seriousness and complexity. | Yes___ | No___ |
| d. A system for keeping complainants informed of status updates. | Yes___ | No___ |
| e. A system for recording feedback/grievances and outcomes. | Yes___ | No___ |
| f. Procedures for protecting confidentiality of complainants | Yes___ | No___ |

B. Staff management

- | | | |
|--|--------|-------|
| 1. Is there a grievance manual for staff? | | |
| 2. Do the grievance policy and/or procedures provide guidance on: | | |
| a. What is a grievance/feedback? | Yes___ | No___ |
| b. What information to collect from complainants? | Yes___ | No___ |
| c. What remedies can or should be used to resolve grievances? | Yes___ | No___ |
| 3. Are the grievance policy and procedures communicated to all staff? | Yes___ | No___ |
| 4. Are adequate resources allocated for the grievance mechanism to function effectively? | Yes___ | No___ |
| 5. Does the organization provide training on grievance management to staff? | Yes___ | No___ |

**Checklist to accompany the Guidance Note for ESS10:
Stakeholder Engagement and Information Disclosure**

C. Communication to grievance mechanism users

1. Are users told how to submit grievances/feedback? Yes___ No___
 - a. Is an information brochure on the grievance mechanism available to users? Yes___ No___
 - b. Are feedback/grievance forms available to users? Yes___ No___
 - c. Are grievance forms or signs displayed prominently and readily accessible? Yes___ No___
 - d. Are contact details of staff receiving feedback/grievance published and displayed in public areas? Yes___ No___
 - e. Is information on grievance management available in local languages? Yes___ No___
2. Are users able to submit grievances/feedback:
 - a. In writing Yes___ No___
 - b. By email Yes___ No___
 - c. By fax Yes___ No___
 - d. By telephone Yes___ No___
 - e. In person Yes___ No___
3. Are users provided with assistance to submit feedback/grievances where needed? Yes___ No___
4. Can the grievance mechanism be accessed free of charge? Yes___ No___
5. Are users promised confidentiality? Yes___ No___
6. Are users informed about the appeals process? Yes___ No___

D. Feedback/grievance recording

1. Are all feedback/grievances recorded? Yes___ No___
 - a. Are grievances/feedback logged and documented? Yes___ No___
 - b. Are inquiries/suggestions and recommendations recorded? Yes___ No___
 - c. Are the outcomes and responses to all grievances/feedback recorded? Yes___ No___

E. Business standards

1. Are there business standards in place for the process and timing with which grievances/feedback are dealt with? Yes___ No___
 - a. Is receipt acknowledged within a stipulated time frame? Yes___ No___
 - b. Are the grievances supposed to be resolved within a stipulated time frame? Yes___ No___
2. Is there a quality control system in place to:
 - a. Check if all grievances have been dealt with or acted upon. Yes___ No___
 - b. Check if all aspects of a grievance have been addressed. Yes___ No___
 - c. Check if all necessary follow-up action has been taken. Yes___ No___

**Checklist to accompany the Guidance Note for ESS10:
Stakeholder Engagement and Information Disclosure**

F. Analysis and feedback

- | | | |
|--|---------|--------|
| 1. Are regular internal reports on grievances/feedback produced for senior management? | Yes ___ | No ___ |
| 2. Grievances/feedback reports include data on: | | |
| Numbers of grievances/feedback received. | Yes ___ | No ___ |
| Compliance with business standards. | Yes ___ | No ___ |
| Issues raised in grievances/feedback. | Yes ___ | No ___ |
| Trends in grievances/feedback over time. | Yes ___ | No ___ |
| The causes of grievances/feedback. | Yes ___ | No ___ |
| Whether remedial action was warranted. | Yes ___ | No ___ |
| What redress was actually provided? | Yes ___ | No ___ |
| Recommendations/strategies to prevent or limit future recurrences. | Yes ___ | No ___ |
| 3. Are reports about grievances/feedback made public, periodically? | Yes ___ | No ___ |