



Securing Permanent Forests to Combat Climate Change and Enhance Sustainable National and Local Economies in Cameroon

ANNEX I

GRIEVANCE MECHANISM

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1. Introduction

This document describes the Grievance Mechanism for the project “Securing Permanent Forests to Combat Climate Change and Enhance Sustainable National and Local Economies in Cameroon” (hereafter referred to as “the Project”), outlining the procedures that IUCN will follow to address any complaints or grievances that stakeholders may have about the Project and its activities. The project Grievance Mechanism has been developed in alignment with IUCN’s Environmental and Social Management System (ESMS) policy framework (principles and standards) and procedures. It also complies with GCF’s requirements and procedures. Details on the project description, social context and legislative framework can be found in the Environmental and Social Management Plan (ESMP).

What is a grievance?

In the scope of this document, a grievance is considered to be any complaint or concern in relation to this Project. It may take the form of specific complaints about impacts, damages or harm caused by the project, non-conformity with the IUCN’s safeguards, concerns about access to the project stakeholder engagement processes, misdemeanour by project personnel, or about how comments, concerns, perceived incidents or impacts regarding project activities have been addressed. The channels described in this document may also be used to share any comments, questions, concerns or suggestions about the Project.

1.1 Purpose of the Project-level Grievance Mechanism

A Grievance Mechanism is a free, open and accessible mechanism, principally designed for Project Affected People, that is accessible to all project stakeholders as well as project staff (including contractors and their workers) to share their concerns about a project. It sets out who can use the mechanism, for what purpose, what channels may be used, and the process to be followed when a grievance is reported. The grievance mechanism helps IUCN uphold its commitment to a rights-based approach; as such it supports IUCN to understand whether there has been or will be a potential breach of its ESMS principles, standards, policies or procedures as well as commitments set out in the project 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 IUCN 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:

- Assure stakeholders that their concerns or complaints will be heard and addressed in a timely manner;
- Guide the PMU in addressing complaints from Project Affected People and other stakeholders related to the project and its activities in a fair, transparent, and practical manner;

- Identify and manage stakeholder concerns and thus support effective risk management for the project;
- 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 in a timely manner.

As such, the Grievance Mechanism does not intend to substitute existing grievance procedures (e.g., those established by the Protected Area authorities), but will instead complement and build on them, while ensuring that IUCN can identify, record 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 principles of the IUCN ESMS Grievance Mechanism

2. Eligibility

Who can submit a grievance?

A complaint can be submitted by any person, community, or other project stakeholder or third parties (including but not limited to contractors, vendors or partner organizations and their staff members) who believes that he/she/it:

- has been or may be negatively affected by the project's failure to respect IUCN ESMS principles, standards, or procedures or,
- has witnessed wrongdoing or suspicion of ethical misconduct in a project.

Complaints can also be submitted by a representative, whether an individual or an organisation, on behalf of a person or community. They must present proof of authorisation to act on behalf of the person or community.

Anonymous complaints are accepted.

Project staff and contractors:

In addition to Project Affected Parties, this Grievance Mechanism shall be made available to project staff, including contractors and volunteers. IUCN will ensure that its contractor(s) use the Grievance Mechanism for all workers. The Grievance Mechanism will be made available to all the contractor's personnel and will be included in all contracts and agreements that IUCN 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 as part of their onboarding process. Information on the grievance mechanism will be posted on staff information boards and on-site information boards.

2.2 Eligibility of grievances

The project grievance and complaint mechanism addresses concerns that are caused by a project where IUCN is the legally responsible entity as described above. Hence, a complaint will first be assessed to determine whether the alleged adverse social or environmental impact or wrongdoing is the consequence of an IUCN project or caused by other parties or by purely contextual factors.

The mechanism accepts not only complaints about a negative impact or wrongdoing that has already occurred (**actual impact/wrongdoing**) but also those that are **suspected or feared**, e.g., where the complainant fears negative impacts. Complaints might relate to issues arising during a project's design or implementation phase.

The grievance mechanism addresses issues where IUCN projects have failed to respect its:

- Environmental and social principles, standards, and procedures as established by IUCN's Environmental and Social Management System (ESMS) or
- IUCN policies ensuring ethical standards and accountability, namely:
 - Safeguarding Policy for a Respectful Workplace (2026)
 - Code of Conduct and Professional Ethics (2023);
 - Whistleblowing and Anti-retaliation Policy (2023);
 - Anti-Fraud and Anti-corruption Policy (2023);
 - Policy on Procurement of Goods and Services (2021);
 - Data Protection Policy (2019);
 - Guide for IUCN Secretariat Staff on Disclosing Conflict of Interest (2018);
 - Policy on Gender Equality and Women's Empowerment (2018).

With regard to the ESMS, complainants may report issues such as, but not limited to:

- Failure to respect procedural rights (lack of or insufficient consultation or disclosure);
- Discrimination and unjustified preferential treatment with regard to access to project resources/ benefits;
- Impacts in relation to rights and livelihoods of indigenous peoples and local communities, including through restricting peoples' access to livelihood resources;
- Impacts affecting cultural heritage, biodiversity or ecosystem services;
- Issues related to working conditions and occupational health and safety of project workers; as well as communities' health, safety, and security;
- Gender risks, including gender-based violence;
- Release of pollutants (chemicals and other hazardous materials) to the environment, generation of waste or wastewater, in particular hazardous waste, inappropriate disposal of waste, risk related to the use of chemicals or other hazardous materials.

Examples of wrongdoing or ethical misconduct that represent a violation of IUCN policies on ethical standards and accountability may include (but are not limited to):

- Violation of human rights of any kind;
- Discrimination against any Staff Member or project stakeholder;
- Sexual exploitation and abuse;
- Harassment or bullying;
- Breach of confidentiality or privacy;
- Money laundering or terrorism financing;
- Accounting, internal controls or auditing matters;
- Asset misappropriation;
- Failure to disclose conflicts of interest;
- Fraud, bribery, and corruption;

Breach of any legal or contractual provisions that may put local communities, project staff or IUCN at risk

On the other hand, the criteria for ineligible grievances include:

The following complaints are not eligible:

- complaints with respect to actions or omissions that are the responsibility of parties other than IUCN and the relevant executing entity under its authority in the context of the project;
- 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 the country, unless this directly relates to the executing entity's obligation to comply with IUCN's ESMS principles, standards, and procedures;
- complaints submitted by the same claimant on matters they had previously submitted to the grievance mechanism, unless new evidence is provided.

2.3 When can grievances be submitted?

The mechanism accepts not only complaints about a negative impact or wrongdoing that has already occurred (actual impact/wrongdoing) but also those that are **suspected or feared**, e.g., where the complainant fears negative impacts. Complaints might relate to issues arising at any time during the project cycle, or **up to 1.5 years** after project closure.

3. Dissemination of the grievance mechanism

For the Grievance Mechanism to be effective, it must be accessible to all project affected people, ensuring that special considerations are made for vulnerable groups.

Languages: The Grievance Mechanism will be available in English and French, as well as at least one of the major local languages spoken in each of the three landscapes.

Confidentiality: Measures will be taken to ensure that confidentiality is respected, for example, through ensuring that the grievance register is securely stored. Anonymous complaints are accepted.

Awareness raising: Various methods will be used to raise awareness about the Grievance Mechanism. For each landscape, this includes:

- regular consultation meetings, at least once every 6 months;
- messages broadcast at regular intervals (at least once every 3 months) on community and national radio throughout the project lifecycle;
- information boards at every individual project site (e.g. each PA, village, etc) detailing the channels for grievance submissions, information about organizations involved in the project, as well as the start and closing dates of the project;
- flyers in at least one local language alongside either French or English distributed in all project-affected areas at the start of activities in the site;
- information sessions in schools and educational institutions in the project affected area;
- notices posted on physical notice boards at all MINFOF offices located in the project-affected area throughout the duration of the project;
- information posted on the websites of IUCN and MINFOF throughout the duration of the project, and until two years after closure of the project;

- trainings provided to all project staff as well as contractual or temporary workers;
- banner at the PMU offices;

Vulnerable groups: The project shall make every effort to ensure that targeted awareness raising measures are implemented for vulnerable groups, as well as ensuring that channels for grievance submissions are available to vulnerable groups. Considerations include literacy such as through radio announcements, mobility such as through accessible locations of meetings and submission channels, social exclusion such as targeted consultations with indigenous or other minorities, physical options for those without access to technology, etc. **At least one grievance channel shall be free of cost.**

Cultural sensitivity: Awareness raising measures as well as grievance reporting channels shall be culturally sensitive and respectful. For example, where traditional dispute resolution mechanisms exist, such as local chiefs, their mechanisms shall be respected.

Existing mechanisms: Where possible, the grievance mechanism shall build upon or complement existing mechanisms. This could include protected area grievance channels, community ombudspersons, etc.

Anti-retaliation: The mechanism will ensure 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.

3.1 How can grievances be submitted?

At least one channel should be accessible free of cost.

Grievances may be submitted in writing, verbally (in person or by telephone) or email. They can be submitted in any language, with the name of the language clearly written to facilitate translation. Where verbal or telephonic grievances are submitted, they may be recorded in order to maintain proofs, but in all cases, only with the explicit consent of the affected party.

The following channels shall be available for reporting grievances:

- Regular in-person community consultations, at least twice a year per location, with specific sessions for vulnerable groups e.g. women-only meetings, consultations with indigenous groups, etc.
- Community Contact Persons chosen by the community
- Grievance boxes at easily accessible locations, where persons submitting complaints can be expected to have privacy. The boxes shall be placed in locations such as schools, community health centres, post offices, shops, etc. with at least one box in each affected village.
- Arrangements to walk into a PMU/IUCN office or regional or local MINFOF to register a grievance.
- Email addresses.

- Cameroonian telephone numbers.
- Postal addresses.

4. Grievance Handling Procedures

4.1 Three stage process

The IUCN grievance and complaints mechanism is designed as a three-stage process as shown in Figure 2. In the interest of practicality and cost-effectiveness, resolution of complaints should be sought at the lowest possible level. Complaints shall be submitted, in the first place, to the local level (stage 1), which is the project's executing entity and more specifically to the Project Management Unit (PMU), except for issues highlighted in section 6.2. This will allow the PMU to review and clarify the issue, to agree on deciding together on a way forward that advances their mutual interests.

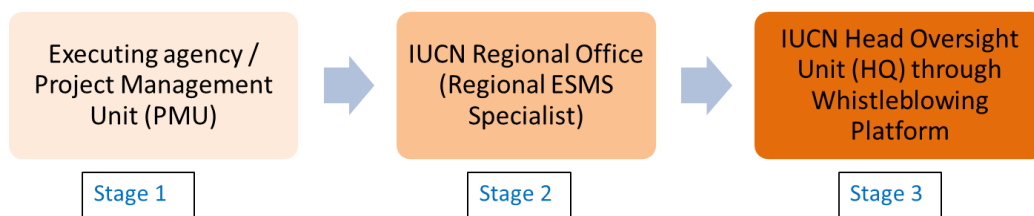


Figure 2: Three-stage process of the IUCN grievance mechanism

The table below shall be updated with relevant contact information and disseminated before the start of the project at a national and landscape level. Local level dissemination shall take place before the start of the project activity, immediately upon site selection.

The project ESMS Officer will be responsible for setting up the grievance mechanism, receiving and resolving grievances, and maintaining records.

Escalation by complainant

If no solution is found or the complainant is not satisfied with the response, the concern can be escalated to stage 2, which is the IUCN Regional Office which will endeavour to solve the issue. In most regions, the IUCN Regional ESMS Specialist is the person designated for this task. If the second stage has also not been successful, the complainant can submit the grievance to the centralized IUCN Whistleblower Platform that will direct the complaint to the IUCN Head of Oversight Unit (stage 3).

Escalation by receiving entity

The decision to escalate complaints to the next higher level can also be taken by the receiving party (e.g., PMU or Regional Office); for instance if these entities do not

have the required capacity, resources or authority to address the specific complaint. The PMU is encouraged to seek advice from the Regional Office and to jointly determine whether specific expertise might be required or whether specific IUCN units need to be involved (such as procurement, finance, human resources, communications, etc). The decision will also depend on the type of issue raised and the seriousness of the harm or wrongdoing/misconduct, including whether the issue might give rise to reputational risks.

A decision to delegate the response process should be taken within 10 working days of receipt of the complaint to ensure a timely and effective response. For transparency reasons, the complainant should be kept fully informed about the process.

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

	Step 1: Local Project Team	Step 2: National IUCN Cameroon	Step 3: IUCN
Name	TBD	To Whom it May Concern	To Whom it May Concern
Position	TBD	Regional ESMS Coordinator for West and Central Africa	IUCN Head of Oversight
Email	TBD	TBD	ethics@iucn.org (Whistleblowing Platform)
Phone	TBD	TBD	+41 22 999 03 50 (confidential hotline)
Address	TBD	TBD	IUCN Head of Oversight, Rue Mauverney 28, CH-1196 Gland, Switzerland

Grievance procedures

1. Submission of a grievance:

- a) Indigenous and local communities consulted in the project sites opined that the village remained the best place for the identification of grievances associated with the project. Hence, the Project will identify one Contact Person in each project village to act as a conduit for any grievances from groups or individuals who do not feel confident to raise the complaint directly. In villages with both Bantu and IP communities, separate contact persons will be identified for the IPs and Bantu. This person may or may not be involved in the project implementation and will be made known to the community. Ideal candidates are respected individuals such as religious leaders, teachers or village elders. Women will be encouraged to stand as the Contact Person. Where possible they will be selected by open vote, e.g., during project inception. The Contact Person will be made familiar with the project and the partners and will be named on signs/ relevant information in each project village detailing this grievance mechanism, where this is appropriate.

- b) The grievance is then recorded and classified in a Grievance Log or Register by the project ESMS Officer. This register should be maintained in a location accessible only to the responsible staff members, and not shared with outside parties except during the process of project evaluation where the register could be provided to the evaluators. In such a case, personal information may be redacted from the register prior to transmitting it to the evaluators.
- c) 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 where grievances are not confidential;
 - II. If not filed directly by the complainant, proof that those representing the affected people have authority and consent to do so;
 - III. The specific project site of concern ;
 - IV. The harm that is or may be resulting from it;
 - V. The relevant social policy or provision violated (if known);
 - VI. Any other relevant information or documents (e.g., date of event, photographs);
 - VII. Any actions taken so far (if any) to resolve the problem;
 - VIII. Proposed solution; and
 - IX. Whether confidentiality is requested (stating reason).
- d) The complaint can be filed either in English, French or any of the local languages. If the grievance has not been submitted anonymously and regardless as to whether confidentiality is requested, the identity of the complainant(s) will be maintained only by the project ESMS officer 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 withheld or maintained within as small a group as possible to assure protection against retaliation.

2. Acknowledgement and addressing the grievance:

- a) Grievance is formally acknowledged and eligibility of the grievance verified 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 shall be sought from the complainant during this step.
- b) The ESMS Officer will investigate the root cause and 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) Where the grievance relates to a violation of IUCN policies on ethical standards and accountability as listed in section 2.2, it will be escalated directly to stage 2.

- d) A response is developed by the ESMS Officer with input from others, as necessary. Consultations with indigenous and local communities in the project sites revealed the existence of customary conflict resolution mechanisms involving the village chief and notables in resolving conflicts. The project shall where possible and appropriate, consider the use of these existing customary conflict resolution mechanisms or establish a project conflict resolution "committee" for the management of complex grievance issues. This can include project staff, local authorities and traditional leaders/ community representatives, and local civil society organizations. The local CSOs operating within the project sites will play a third-party role, ensuring integrity and transparency of the Grievance Mechanism. As revealed from consultations with communities, it is common practice in the project sites for the traditional council within communities or villages to refer cases of conflicts which they find complex and challenging to be addressed by them, to the local administrative authorities such as the Sub-divisional Officer. Hence, conflicts which cannot be addressed by the customary conflict resolution mechanism or the conflict resolution committee will be referred to the local administration for resolution.
- e) Required actions implemented to deal with the issue, and completion of these, is recorded in the grievance register.
- f) The response is signed-off by the responsible staff. The sign-off may be a signature on the grievance register or in correspondence that should be filed with the grievance to indicate agreement.
- g) The response is communicated to the affected party. The ESMS Officer ensures that a suitable approach to communicating the response to the affected party is agreed and implemented. The response to a grievance will be provided 20 working days after receipt of the grievance.
- h) The response of the complainant is recorded to help assess whether the grievance is closed or whether further action is needed. The ESMS Officer shall use appropriate communication channels to confirm whether the complainant has understood and is satisfied with the response. The complainants' response should be recorded in the Grievance Register. Ideally, both parties shall sign off the grievance to confirm closure. Or, alternatively, a written confirmation that the grievance has been closed satisfactorily shall be obtained.
- i) The grievance is closed with sign-off from the ESMS Officer, who determines whether the grievance can be closed or whether further attention and action is required. If further attention is required, the ESMS Officer shall return to Step b) to re-assess the grievance and then take appropriate action. Once the responsible staff has assessed whether the grievance can be closed, he/she will sign off to approve closure of the grievance on the Grievance Register and by written communication.

Stage 2: Submission to regional IUCN office

Where the response of any grievance through Stage 1 is considered unsatisfactory to the aggrieved party, or when a stakeholder fears retaliation from the country-based PMU, he/she/they can lodge a complaint with the IUCN Regional Office for West and Central Africa, based in Dakar, Senegal.

1. The Regional ESMS Specialist based in Dakar, in collaboration with the project management unit, will assess the eligibility of the complaint and provide a response as to whether or not it is eligible, in accordance with the above criteria within 10 business days after receiving the complaint.
2. If the complaint is deemed eligible, the regional ESMS Specialist will devise a plan and timeframe to investigate, which will be communicated to the complainant, ideally within 10 business days of the complaint being logged.
3. The Regional ESMS Specialist will then resolve the grievance, with additional technical support if required (e.g., from the Country Office, the wider regional staff, 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.
4. 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. IUCN Cameroon will facilitate support to further clarify, assess, and resolve further issues, as needed.

In cases where complainants are dissatisfied with the handling of a grievance, they can directly submit a grievance to the IUCN Stage 3 below.

Stage 3: Submission to IUCN Project Complaints Management System

In the event of serious complaints or those that cannot be resolved promptly, either, PMU, project ESMS Officer, or Regional ESMS Specialist may escalate the grievance to Stage 3, the IUCN headquarters. The Global ESMS Coordinator and the Head of Oversight, along with Finance, Legal and other teams, may then be involved. This is the final stage of escalation for ESMS-related issues. The Whistleblowing Platform is also housed at the Headquarters.

IUCN Cameroon 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 Cameroon, and this grievance procedure shall not impede access to other judicial or administrative remedies that are available under the Law.

Complainants can appeal a decision at any time by approaching the next stage, or by approaching GCF's IRM at any time.

4.2 Issues requiring escalation at outset

Certain complaints must be reported at a higher level (stage 2 or 3) already at the outset because of the nature of the issues raised. This applies specifically for reports about wrongdoing or suspicions of ethical misconduct that are sensitive or where the allegations are against individuals working in the PMU or another entity involved at the local level (stage 1). In such cases, the complainant may feel uncomfortable, or have concerns about the ability of the PMU (or the Regional Office) to respond fairly and effectively to the request, or even fear retaliation. In these cases, the complainant can choose to submit the complaint to the Regional Office or directly to the Head of Oversight Unit, as the complainant sees fit.

Complaints relating to the occurrence or feared occurrence of physical harm, or sexual exploitation, sexual abuse, and sexual harassment (SEAH) need to be raised directly through the Whistleblowing platform to the Head of Oversight Unit (Stage 3).

4.3 Protection from retaliation

In line with the IUCN Whistleblowing and Anti-retaliation Policy, IUCN does not tolerate any form of retaliation against complainants. Appropriate measures are in place to protect complainants/whistleblowers from reprisal. Anyone who reports wrongdoing and makes a good faith report on any suspicions of ethical misconduct, including individuals, communities, or other project stakeholders who have reasonable grounds to believe that they are or will be subject to retaliation for having engaged in a protected activity, may seek redress by submitting a retaliation complaint to the Head of Oversight Unit through the Whistleblowing Platform. Pending the completion of an assessment of the retaliation complaint and without prejudice to its outcome, the Head of Oversight Unit may recommend interim measures or remedial action to protect the complainant while the review is ongoing. Please see the Whistleblowing policy for further details. Protection against retaliation cannot be granted to the Whistleblower in case of an anonymous report, until disclosure of their identity.

4.4 GCF Independent Redress Mechanism

As this project is funded by the GCF, there is also the possibility of filing a complaint directly with the GCF independent redress mechanism. Further details are provided at <https://irm.greenclimate.fund/case-register/file-complaint>.

5. Maintaining Records and Monitoring Actions

Irrespective of the scenario applicable for developing a response and solving the grievance, it is essential to ensure that:

- All complaints are individually filed in the project complaint register.
- The process of addressing the individual complaints is monitored through the IUCN Grievance Log with detailed records of the agreed corrective actions and the timeframe, with due regard for confidentiality or anonymity.
- Based on the register and the Grievance Log, an annual report is prepared, summarizing the cases and actions taken to resolve them.
- The grievance is publicly recorded on the project website and other relevant places, taking into account issues of confidentiality. The whole case must also be translated into the local language and transmitted at the site.

The Grievance Log 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: IUCN Cameroon acknowledges receipt of the grievance within 10 working days;
3. Investigation (of eligible grievances only): IUCN Cameroon investigates the root cause, whether the claim is true or false and proposes corrective actions;
4. Response: IUCN Cameroon provides a response to the complainant; and
5. Close out: IUCN Cameroon 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 Project Complaints team 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 plans, until they are completed. IUCN Cameroon 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 Grievance Log shall 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,:

- 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 reasons;
- Number of grievances where the investigation was/was not completed on time, including reasons;
- Number of grievances resolved and unresolved.
- Number of serious incidents;
- Number of serious incidents still open (inquiry or corrective actions on-going) and closed.

6. Serious Incident Reporting

The project field staff shall report all serious incidents caused by or related to the Project that have or could have significant negative impacts on people or on the environment, to the IUCN. 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” . Serious incidents can include, for example:

7. Fatalities, serious injuries and accidents at work;
8. Fatalities, serious injuries and accidents affecting local communities and others;
9. Violations of human rights, including sexual and gender-based violence and harmful child labour;
10. Forced evictions;
11. Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence; and
12. Environmental impacts.

As such, and due to the risks of association, serious incidents that relate to collaborating partners that the project technically or financially supports, shall also be reported, if they occur in the project area, even if they are not directly related to a project activity.

In the case of a serious incident, the incident will be reported by the project field staff to the IUCN Project Manager and the IUCN ESMS Regional Specialist within 48 hours of the project field staff receiving information of the incident occurring. In cases where detailed information is not immediately available, a draft report will be prepared by the project field staff 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 report will follow the template provided in Annex 2 (Serious Incident Report), including:

13. A detailed description of the incident and its effects on workers, local communities, the environment etc.;
14. 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
15. 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 be summarised, using the template in Annex 2, along with a link to and/or an electronic copy of the inquiry’s final report, if it is made available to the public. The

project field staff and partners will inform the IUCN 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.

Annexes

Annex 1: Template for Public Grievance Form

To be adapted as necessary and translated into the local language(s)

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 If possible, please indicate age, gender and ethnic community	
Anonymous submission	☐ I want to remain anonymous
Please mark how you wish to be contacted (mail, telephone, e-mail).	☐ By mail/in-person (please provide mailing address): ☐ By telephone (please provide telephone number): ☐ By e-mail (please provide e-mail address): If submitting the grievance on behalf of affected party, please attach proof of authority and consent to do so.
Preferred language for communication	☐ [insert other applicable language(s)] ☐ English ☐ Other, please specify: _____
Description of incident or grievance:	
What happened or is feared will happen? Where and when did it happen? Who did it happen to? What is the impact of the problem?	
Date of incident/grievance: _____	☐ One time incident/ grievance (date _____) ☐ Happened more than once (how many times? _____) ☐ On-going (currently experiencing problem)
What would you like to see happen to resolve the problem?	

Annex 2: Template for a Serious Incident Report

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

Fatalities, serious injuries and accidents at work ☐

Fatalities, serious injuries and accidents affecting local communities and others ☐

Violations of human rights or accusation of human rights violations, incl. sexual and gender-based violence and harmful child labour ☐

Forced Eviction ☐

Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence ☐

Environmental incidents ☐

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 (e.g., non-compliances with ESMS standards or measures)

Serious Incident Report

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 (IUCN ESMS Coordinator)			