

**MINISTRY OF ECONOMIC DEVELOPMENT AND POVERTY
REDUCTION OF THE REPUBLIC OF UZBEKISTAN**



**GRIEVANCE REDRESS MECHANISM
MANUAL**

Project Implementation Unit

Tashkent
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GRIEVANCE REDRESS MECHANISM MANUAL

I. Introduction: Beneficiary Feedback and Grievance Redress in the Rural Infrastructure Development Project

The Rural Infrastructure Development Project (RIDP) will be financed by the World Bank and the Asian Infrastructure Investment Bank and implemented by the Ministry of Economic Development and Poverty Reduction (MoED) in 21 districts of Uzbekistan in the Ferghana, Andijan, Namangan, Syrdarya, and Jizzakh regions. The development objective of the RIDP is to (i) improve the quality of basic infrastructure and (ii) strengthen participatory local governance processes in selected *qishloqs* (villages). “Participatory local governance” here refers to inclusive village participation in needs assessments; planning, prioritization, and selection of subproject investments; and oversight activities including the monitoring of procurement, subprojects, and social audits. To increase participation and village-led decision-making and oversight, a key design innovation of the RIDP is the introduction of trained qishloq facilitation teams to support participating qishloqs and district administrations.

The Project Implementation Unit (PIU) is established at the MoED and comprises specialists in financial management, environmental and social safeguards, technical supervision, procurement, and other key competencies.

The RIDP aims to support state programs to improve quality of life in rural mahallas of Uzbekistan., but differs in its design and implementation in several key ways. The RIDP envisions engagement with various stakeholders: village residents, Mahalla Citizens Assemblies (local self-governing bodies), facilitating partners (village-level facilitators and engineers) recruited by the PIU, district and regional Khokimiyyats, and other stakeholders.

In line with RIDP principles of good local governance practices, transparency and accountability, and social and environmental sustainability, the RIDP will adopt a Beneficiary Feedback Mechanism (BFM) to enable RIDP stakeholders to provide feedback on the RIDP. The BFM is a process of receiving prompt, objective information, evaluation and consideration of appeals (claims, suggestions, complaints, requests, positive feedback) related to the RIDP. This BFM includes a grievance redress mechanism for any resettlement compliant as required by the Resettlement Policy Framework (RPF).

The purpose of this manual is to describe the processes for filing, reviewing and acting on RIDP-related queries, complaints or appeals. It begins by describing existing GoU mechanisms for citizen engagement, and describes in detail the project-level GRM for the RIDP.

II. Government Mechanisms to Engage with Citizens

The Government of Uzbekistan (GoU) has been working to strengthen engagement with citizens and establish a credible mechanism to receive their feedback and grievances. In the last three years, a number of legal acts have been adopted and revised to support these efforts:

- ***Law on introducing amendments and additions to the Law of the Republic of Uzbekistan "Queries of Citizens and Legal Entities"*** (No. 445, from Sept. 11, 2017). Sets procedures for sending feedback, suggestions, and grievances to state bodies; establishes operating procedures for public reception offices and the Virtual Reception of the President of Uzbekistan, a web portal.
- ***About First-Priority Measures for Ensuring the Accelerated Social and Economic Development of Regions*** (No. 3182, from August 8, 2017). Establishes four sectors, chaired respectively by the regional/district Khokims, the Prosecutor’s Office, the Ministry of Internal

Affairs, and the Tax Committee, to address problems communicated by citizens in a door-to-door needs assessment.

- ***About Measures for Further Strengthening Work with Citizens' Problems*** (No. 5633, from January 17, 2019). Sets procedures for collaboration between sectors for integrated socioeconomic development of regions, and procedures for public reception offices to publicize and address problems raised by citizens.
 - ***About Measures to Improve the Status of Mahallas in Work Related to Citizens' Problems*** (No. 5700, from April 2, 2019). Establishes an interaction model, *mahalla>sector>public reception >mahalla*, for receiving, publicizing, and addressing citizens' queries, problems, and grievances.
 - ***About Additional Measures to Ensure the Rule of the Constitution and Law, Strengthening Public Control and Increasing Legal Culture in Society*** (No. 4551, from December 13, 2019). Requires that after March 1, 2020, any landscaping, construction, or reconstruction work first be discussed with the public in a citizen-engagement process and be reviewed by public expertise¹. NGOs will provide another layer of public control through the Council for the Development of Civil Society, under the president, in collaboration with the Center of Civil Society Development and the National Association of Nongovernment and Noncommercial Organizations, which will, by March 1, 2020, develop an integrated program to establish a modern system of public control in each field and sector.
- In 2019, the GoU strengthened the role of the National Commission on Combatting Human Trafficking and Forced Labor and adopted resolutions criminalizing child and forced labor.

HHH. The World Bank's Corporate Mechanism

Communities and individuals who believe they are adversely affected by a WB-supported project may submit complaints to existing Project-level GRMs or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed. Project-affected communities and individuals may submit their complaint to the WB's independent Inspection Panel, which determines whether harm has occurred, or could occur, as a result of WB noncompliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention and WB management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's GRS, please visit <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. Information on submitting complaints to the World Bank Inspection Panel is available at <http://www.inspectionpanel.org/>.

IV. RIDP's Project-Level Grievance Redress Mechanism

The Grievance Redress Mechanism (GRM) is a set of procedures for receiving, reviewing, and responding to Project-related complaints from adversely affected individuals and communities. These adverse effects may include involuntary resettlement, problems incident to construction, limitations on access to infrastructure, environmental and social impacts, violations of labor law, and other effects.

¹In accordance with the Law of the Republic of Uzbekistan on Public Control, Article 12, Public Expertise is the study and evaluation of draft normative legal acts and other decisions of state bodies with a view to their compliance with the rights and legitimate interests of citizens, legal entities, and public interests.

Queries are statements, suggestions, and complaints received verbally, in writing, or electronically through the channels described below.

The purpose of the GRM is to improve the accountability of the Project to beneficiaries and to provide channels for public feedback to Project stakeholders. The GRM provides a channel for reporting Project issues such as security problems, staff misconduct, and misuse of funds, abuse of power, and other issues. By increasing transparency and accountability, the GRM will reduce the risk of inadvertent harm to Project beneficiaries and the general public and improve Project effectiveness.

Scope of GRM. The GRM will cover all villages selected for participation in the RIDP.

Principles. Project stakeholders are those who are likely to be directly or indirectly affected positively or negatively by the project. Project stakeholders have, among others, the following rights under the project:

- Right to information
- Right against inappropriate intervention by an outside party
- Right to a project free of fraud and corruption.

The RIDP GRM will operation according to the following standards:

- Information about the GRM, including contact details, is distributed in all participating villages at public meetings through brochures/pamphlets in local languages to the extent possible, and posted at the district Khokimiyat and MCA offices in participating districts and villages.
- The GRM offers a number of different channels for providing feedback. Villagers and stakeholders themselves decide on the best ways to file complaints.
- Grievances are disclosed publicly, but no one who files a grievance is identified unless they self-identify. The identity of all those who have filed grievances is treated with confidentiality.
- There is no charge for filing a grievance.
- The timeframe for responding to a grievance should not exceed 15 days from the time the grievance is originally received. And if necessary, additional study - grievances should be resolved within one month of receipt. Grievances are resolved locally, at the lowest level, if possible. If not, they are “escalated” or sent up to a higher level within 30 days. Anyone may convey comments or suggestions about any aspect of the project through the GRM. Comments, suggestions, appreciations, or questions should be recorded and submitted to the M&E Specialist at the PIU central office to provide an answer in coordination with relevant project staff, ensuring that responses are in line with the POM.

V. GRM Procedures

Channels for submitting queries at the national level

Project beneficiaries and the general public can submit queries in verbal and written form through the following GRM channels.

- Telephone hotline:(71) 232-63-32
- Address for written queries to the PIU office: 45A, Islam Karimov Street, Tashkent
- Email address: ridp@mineconomy.uz
- Management Information System (MIS):<http://www.ridp.uz>
- Media

- Verbal or written appeals to MCAs, district Khokimiyats, regional Khokimiyats, RIDP facilitators, PIU and FP staff through the grievances' boxes maintained at the village, district and regional levels

In addition to the national-level GRM channels described above, for the convenience of Project beneficiaries, channels for the submission of queries will also be established at the village, district, and regional level as described below.

PIU staff responsibilities for handling queries

M&E specialist. Ensures that all queries from the village, district, region, or national level are recorded and addressed in a timely manner. Manages overall operation of the RIDP GRM, with guidance from the PIU director.

Community mobilization specialist. Ensures that RIDP facilitators regularly train GRM focal points on the ground, inform the public about RIDP GRM channels, collect queries from the GRM box in a timely manner and forward them to the regional PIU Environmental and Social Safeguards (ESS) Specialist or PIU M&E Specialist through the MIS.

MIS specialist. Receives queries from the RIDP MIS and forwards them to the PIU M&E specialist for further processing.

Regional Environmental and Social Safeguards (ESS) Specialist. Receives queries from the regional-level GRM and forwards them to the PIU M&E specialist. Responsible for providing information about regional GRM channels to all involved stakeholders, Project beneficiaries, and the general public.

VI. Village-Level GRM

GRM focal point. The CPM/ Grievances Committee trained by a RIDP Qishloq Facilitator, will be the GRM “focal point,” the contact person responsible for informing villagers with Project-related queries about the RIDP GRM channels.

GRM intake places. There are several ways that queries can be submitted at the village level:

- Verbal submissions Citizens can submit complaints and queries verbally to the Grievance Committee. The verbal query/grievance will be documented by the Grievance committee and will forward to RIDP Facilitators.
- Grievances box. In coordination with Mahalla Citizens Assembly and Grievance Committee, MDU, RIDP Facilitator will install a Grievances box to collect queries/complaints from citizens. The location of the Grievances box will be identified among CPM, MDU, MCA, RIDP Facilitators. Grievance Committee will check this box once every 2 weeks and will forward all queries to the PIU through the MIS or RIDP Facilitators.
- Telephone hotline. Queries submitted via the telephone hotline will be logged, using a form, by the PIU MIS Specialist and entered into the MIS.
- Email or website. Queries submitted by email or through the MIS website will be logged, using a form, by the PIU MIS Specialist and entered into the MIS.

Grievance handling procedures. Grievances that are raised at the community level (through the Grievances box or submitted verbally to the Grievances Committee) will be first and foremost attempted to be resolved at the community level. If a grievance is raised to the MDU or MCA members, they should share this grievance with the CPM/ Grievances Committee who is responsible to solve the issue at the community level. All Grievances must be recorded in the Grievances Form and channeled to the RIDP Facilitators. If the Grievance relates to the work of a RIDP Facilitator, it

should be channeled through the District- Level GRM via the MCA, or submitted directly to the PIU. All grievances, even if they are solved at the community level, must be recorded in the MoED PIU’s grievance redress log.

During implementation, the GRM system will be discussed with the public and the community will be informed of ways to submit grievances.

VII. District-Level GRM

During project implementation, District Project Committees (DPCs) will be established in each district. DPCs will comprise members of the State rural rehabilitation Programs district Coordination Working Group, or *Shtab*, chaired by the district Khokim, who will also chair the DPC.

GRM focal point. A member of the of DPC, assigned by the Khokim and trained by a RIDP facilitator, will be the GRM “focal point,” the contact person responsible for informing district residents with Project-related queries about the RIDP GRM channels.

GRM intake place. In coordination with the DPC, RIDP facilitator will install a grievances box in the district Khokimiyat to collect queries from citizens. RIDP Facilitators will check this box once every two weeks and will forward all queries to the PIU through the MIS or the regional PIU ESS specialist.

VIII. Regional-Level GRM

The RIDP GRM will operate at the regional level in coordination with the regional Khokimiyat and as provided in the MoU between the MoED and the Khokimiyat and its single customer services engineering company (SCS). Per the MoU, PIU specialists will be placed in each region for project implementation and oversight. These PIU staff will be located either at the regional Khokimiyat or the SCS.

GRM focal point. RIDP regional PIU ESS Specialist will be responsible for informing citizens, stakeholders, and contractors with Project-related queries about the RIDP GRM channels.

GRM intake place. In coordination with the regional Khokimiyat and the SCS, the regional PIU ESS Specialist will install a grievances box at the regional Khokimiyat to collect queries from citizens. The regional PIU ESS will check this box once every two weeks and will forward all queries to the PIU M&E specialist through the MIS.

IX. Procedures for Handling Queries

Acceptance and registration

- Written, verbal, and electronic queries are accepted by the PIU M&E specialist.
- *Written and electronic queries* (email, MIS) are logged by the PIU M&E specialist in the “Book for Registration of Queries of Individuals and Legal Entities,” the MIS internal system, or a suitable software application such as Excel. The system should record the date the query was received and the date of any reply, the topic of the query, and the outcome of the query.
- *Verbal queries* (calls to the PIU telephone hotline) are accepted by the PIU M&E specialist. Verbal queries are logged in the “Book for Registering Phone Calls of Individuals and Legal Entities,” the MIS internal system, or a suitable software application such as Excel. The log should include the date of the call, the topic, and whether the issue was resolved during the conversation or needed additional follow-up.
- To prevent data loss or accidental deletion of electronic files, all registration notes and files are backed up to cloud storage (One Drive, Google Drive, or an internal system).

- The PIU director and the M&E specialist shall have full access to GRM data.

Handling queries

- After registering a verbal query, the PIU M&E specialist advises the applicant on the issues raised and asks the applicant to leave a contact number for further discussion or to notify the applicant of the outcome.
- After registering and reviewing a written or electronic query, the PIU M&E specialist appoints a PIU staff member competent in the matter of the query to study the issue and draft a response. This appointment includes a deadline for the response. Complaints about a contractor (a construction company) will be reviewed by the regional PIU technical supervisors, who will go to the village and investigate the issue. If a problem is found, the contractor will be told what needs to be fixed and given a timeline. (Note: if no problem is found, the query is still logged, and the person who submitted the complaint is notified of the resolution.) If the contractor has not addressed the issue within two weeks, it goes to the contract supervisor. The issue, action, and resolution are logged, and the person who submitted the complaint is notified by the PIU of the resolution.
- Complaints about RIDP facilitators must be submitted to the PIU online or via the telephone hotline. The complaint is then logged on a form by the PIU M&E team and sent to the Human Resources Department and the PIU lead engineer (for the QE) or the PIU social safeguards specialist (for the QF), who then leads the investigation. A regional PIU staff member may be asked to collect information as part of the investigation. Significant issues will be investigated by the Tashkent-based PIU directly. If the RIDP facilitators are FP staff, the issue will be raised with FP management. If they are PIU staff, then, depending on the severity, the staff is warned or punished, and the action and resolution are logged and conveyed to the complainant.
- If an activist or person outside the community makes a complaint, it is logged and sent to the appropriate person in the PIU for that issue, and the person who submitted the complaint is notified of the resolution by the PIU.
- According to legislation of the Republic of Uzbekistan specified in annex 2, applications are to be responded to within 15 days, or within one month if additional study is necessary.
- The PIU M&E specialist will ensure that all queries are handled in a timely manner.

Notifying the applicant

- Within two days of receiving a written, electronic, or telephone query, the PIU M&E specialist notifies the applicant, by phone or e-mail, of the receipt of his query. The exception is any query received online through the PIU MIS, which automatically sends confirmation to the citizen that his query has been received. If they get a written query from someone with no phone or email the PIU M&E specialist notifies Regional ESS specialist and he, in turn, will inform CPM of the receipt of the query.

Reviewing queries

- PIU staff assigned to process a written, verbal, or electronic query should carefully examine the query and gather the information needed for a response. This process may include field visits, examination of documents, meetings with contractors in the field, meetings with the public, and meetings with representatives of government agencies to make a decision about the query.
- If necessary, the PIU staff can ask the applicant more information or documentary evidence if it is needed for a full, objective, and timely review.
- The PIU staff may also seek information from government agencies with authority over the matters raised by the query.

Responding to the applicant

- After a response to the query is signed by the PIU Director, the PIU M&E specialist registers it in the “Book for Registering Queries of Individuals and Legal Entities” and the MIS.
- The PIU M&E specialist sends the response to the applicant at the postal address indicated in the written query or scans the response and sends it to the email address of the applicant from which the electronic query was received.
- In addition to sending a response to the postal or e-mail address, the PIU M&E specialist notifies the applicant by phone that a response has been sent if the applicant provided a phone number.
- PIU M&E specialist who received the complaint over the phone notifies the applicant of the review of his / her application and queries a postal and / or email address to which he/she will send a response.

Appeal procedure

- Applicants who are not satisfied with the resolution of a query can resubmit it to the PIU.
- The procedure for resubmitting a query must be included in the written or electronic response to any query, and an applicant making a verbal query must also be notified at the time of the query.
- Review of repeated queries is conducted with the participation of the PIU management, PIU staff, and government authorities who participated in the investigation of the query. A response to the resubmitted query must indicate this participation.
- Applicants must also be informed of their right, under the laws of Uzbekistan, to appeal to the courts if they are not satisfied with the resolution of their query.

X. Anonymous Queries

To promote the transparent and efficient implementation of the RIDP, the PIU will accept and investigate queries from any Project-affected citizens, including anonymous queries.

XI. Raising Public Awareness

The RIDP Facilitators and relevant PIU staff will be responsible for informing project beneficiaries, contractors, and Project-area residents about the RIDP GRM channels, especially during meetings with stakeholders, public consultations, and other events and activities undertaken under the RIDP. The PIU will develop leaflets and other information products explaining the GRM for distribution at these meetings.

XII. Capacity Building

The RIDP provides resources to train PIU staff, FP staff, RIDP facilitators and other stakeholders responsible for the GRM. The trainings will cover the principles of the GRM, the necessary conditions for its effective operation, how it should be implemented in the Republic of Uzbekistan, and successful examples from other countries. Once trained, RIDP facilitators and regional PIU ESS specialists will be the training focal points for village, district, and regional-level GRM procedures.

XIII. Monitoring and Reporting

The PIU deputy director will monitor the functioning of the GRM. Monitoring includes the following:

- Once every two months, check the registration books and electronic systems for registrations.

- Once every two months, check the quality of information in the GRM system with a phone call to a randomly selected applicant.
- Regularly converse with beneficiaries or conduct anonymous surveys during public meetings.

The PIU will provide a quarterly report on the GRM, disaggregated by gender, to the World Bank office in Uzbekistan, providing suggestions and comments for improving the mechanism. The report form is given in annex 3.

ANNEX 1: Grievances Registration Book

Region Name: _____ District Name _____ MCA Name _____

No.	Date of received grievance	Complainant name	Phone# of Complainant	Summary of Grievance	Action and Solution Summary
1					
2					

ANNEX 2: MIS GRM/FBM Form

Grievance Reporting Form

How to use this Form: This form should be completed for each grievance that is related to RIDP Activities. Please consider you can circle more than one category. Be sure to explain the problem as clearly as possible.							
Complainant details	Region		District		MCA Name		FP
	MCA ID						
	Name		Phone #		Email		Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female
Grievance Related to	<input type="checkbox"/> Contractor <input type="checkbox"/> FP staff/QF <input type="checkbox"/> PIU staff <input type="checkbox"/> RIDP activities <input type="checkbox"/> Others						
Detailed Explanation of Grievance:							
Grievances Categories							
1. Development Process related grievances	<input type="checkbox"/> No proper mobilization <input type="checkbox"/> No Women's Participation and Inclusion in development Planning <input type="checkbox"/> Collective Action Initiatives is elite captured no proper Community profile <input type="checkbox"/> No proper well-being analysis <input type="checkbox"/> No proper health analysis <input type="checkbox"/> No proper education analysis <input type="checkbox"/> No proper recourse maps <input type="checkbox"/> No proper selection, discussion of QDP subprojects <input type="checkbox"/> Others						
2. Governance Process at Community level related grievances	<input type="checkbox"/> MDU Election with improper process <input type="checkbox"/> Others (specify) _____						
3. Selected, prioritized and approved sub-projects are not met	<input type="checkbox"/> Drinking Water <input type="checkbox"/> Transport <input type="checkbox"/> Energy <input type="checkbox"/> Environmental Safeguards problematic			<input type="checkbox"/> Small Scale Irrigation Infrastructure <input type="checkbox"/> Education <input type="checkbox"/> Health <input type="checkbox"/> Social Safeguards problematic <input type="checkbox"/> Others (specify) _____			
4. Infrastructure Construction related grievances	<input type="checkbox"/> Poor design <input type="checkbox"/> Poor quality <input type="checkbox"/> Cost of project problematic <input type="checkbox"/> Selection of Project site problematic			<input type="checkbox"/> Project captured by elites/powerful person <input type="checkbox"/> Labor selection problematic <input type="checkbox"/> Wage problematic <input type="checkbox"/> Others (specify) _____			
5. Financial and procurement related grievances	<input type="checkbox"/> Misuse of funds <input type="checkbox"/> Non-transparency of accounts/records <input type="checkbox"/> Poor quality of materials			<input type="checkbox"/> No transparency of accounts/records/bids <input type="checkbox"/> Problematic Contractor selection process			

	<input type="checkbox"/> No competitive bidding	<input type="checkbox"/> Untimely disbursement of funds <input type="checkbox"/> Others(specify) _____	
6.Development actors in community related grievances	<input type="checkbox"/> QF bad behavior <input type="checkbox"/> MDU members bad behavior <input type="checkbox"/> QE bad behavior	<input type="checkbox"/> Improper frequency of visits <input type="checkbox"/> Contractors improper frequency of visits <input type="checkbox"/> Others(specify)_____	
7. Monitoring related grievances	<input type="checkbox"/> MDU Monitoring team does not exist <input type="checkbox"/> MDU Monitoring team does not monitor <input type="checkbox"/> Social audit not conducted	<input type="checkbox"/> Social audit problematic <input type="checkbox"/> Grievances Box location <input type="checkbox"/> Others (specify)_____	
8.HR related grievances	<input type="checkbox"/> Recruitment related grievances <input type="checkbox"/> Others (specify)_____		
9. Others	Please specify:		
Complainant's Signature:			
Grievance received by	Name	Position	Signature
Grievance solved by	Name	Entity	Feedback

Annex 3: PIU GRM Report form

PIU GRM Report form

#	Subject	Received date	Responded date	From whom		Description of issue	the query status	Responsible for registration and reply	Comments/Suggestions/remarks
				M	F				
1									
2									
3									