**Checklists for Implementing the SRM in a CO**

*The below Checklists have been developed to support CO staff responsible for the SRM in the CO to review key points of UNDP policy and procedure related to the SRM as they manage SRM cases.*

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# CHECKLIST: IMPLEMENT THE SRM IN YOUR UNDP COUNTRY OFFICE

Use this checklist to implement the Stakeholder Response Mechanism (SRM) in your UNDP Country Office (CO), in order to address complaints related to UNDP-supported projects and contribute to accountability for social and environmental impacts.

1. **Form and train the CO SRM team**

* The Deputy Resident Representative (DRR) has taken overall responsibility for the SRM in the CO
* Identified adequate CO staff for operating the SRM: with good understanding of environmental and social issues, excellent interpersonal skills, preferably with experience managing grievances/disputes in a facilitation/mediation role
* Trained staff on the SRM procedures, eligibility criteria, and the overall process, as well as UNDP’s Social and Environmental Standards and relevant laws, regulations and policies

1. **Establish procedures**

* Established procedures to receive and document complaints from the following sources:
  + Escalation from UNDP project GRMs (via UNDP’s Project Assurance function);
    - Trained all Project Assurance staff on the SRM procedure to help complainants escalate their complaints to the SRM if not satisfied with the GRM’s response
  + Direct receipt from individuals and groups concerned about UNDP project impacts.
    - Project Implementing Partners have disseminated information on how to make a complaint directly to the SRM to project stakeholders
  + Response to the SRM at corporate level, when it contacts the SRM at CO level regarding complaints that have been brought directly to the corporate level.
    - The DRR has informed the SRM at corporate level that the SRM at CO level is established, provided the ToR for the SRM, and provided contact information for staff other than the DRR who will be responsible for managing the SRM at CO level
* Established procedures to engage with complainants, seek resolution, and document all complaints and responses**[[1]](#footnote-1)**
* Established procedures to ensure that complaints related to sexual exploitation and abuse are treated in a survivor-centered manner and ensure referrals for safe and confidential survivor assistance[[2]](#footnote-2)

1. **Disseminate information**

* Provided training and support to UNDP project managers and Implementing Partners on preventing risks and impacts that could lead to complaints and resolving them constructively
* Ensured that the CO Web site includes in the relevant national language(s):
  + A visible link to a CO Web page describing [UNDP’s Accountability Mechanism](https://www.undp.org/accountability/audit/social-and-environmental-compliance-review-and-stakeholder-response-mechanism)
  + On this Web page describing the Accountability Mechanism, a description of the SRM based on text from the [corporate SRM Web page](https://www.undp.org/accountability/audit/secu-srm/stakeholder-response-mechanism)
  + Contact information for submitting a complaint to the SRM at CO level, including email, cell phone number, messaging app channel, mailing address, and fax number.
* Ensured (through the Project Assurance function) that all UNDP projects systematically inform potentially affected community members and other stakeholders how to make a complaint about the project**[[3]](#footnote-3)**. Information materials should be culturally appropriate and tailored to the language and accessibility preferences and decision-making processes of each identified stakeholder group, including disadvantaged or marginalized groups. COs should use (and adapt to local stakeholders) the following materials:
  + The corporate SRM/SECU brochure: [English](https://www.undp.org/sites/g/files/zskgke326/files/publications/UNDP-SECU-SRM-Brochure-2014.pdf) [Espanol](https://www.undp.org/sites/g/files/zskgke326/files/publications/UNDP-SECU-SRM-Brochure-SP-2015.pdf)[Français](https://www.undp.org/sites/g/files/zskgke326/files/publications/UNDP-SECU-SRM-Brochure-FR-2015.pdf); and
  + One-page handouts on SRM/SECU:

|  |  |
| --- | --- |
| [English](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20English.pdf) [Français (French)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20French.pdf) [Español (Spanish)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Spanish.pdf) [አማርኛ (Amharic)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Amharic.pdf) [العربية (Arabic)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Arabic.pdf) [বাংলা (Bengali)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Bengali.pdf) [Hrvatski-Srpski-Bosanski (Croatian - Serbian- Bosnian)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Croatian-Serbian-Bosnian.pdf) [دری (Dari)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Dari.pdf) [हिन्दी (Hindi)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Hindi.pdf) [Bahasa Indonesia (Indonesian)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Indonesian.pdf) [ភាសាខ្មែរ (Khmer)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Khmer.pdf) [Bahasa Melayu (Malay)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Malay.pdf) [नेपाली (Nepali)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Nepali.pdf) | [پښتو (Pashto)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Pashto.pdf) [Português (Portuguese)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Portuguese.pdf) [Русский (Russian)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Russian.pdf) [简体中文 (Simplified Chinese)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Simplified%20Chinese.pdf) [繁體中文 (Traditional Chinese)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Traditional%20Chinese.pdf) [Kiswahili](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Swahili.pdf) [Tagalog](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Tagalog.pdf) [தமிழ் (Tamil)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Tamil.pdf) [ภาษาไทย (Thai)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Thai.pdf) [Türkçe (Turkish)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Turkish.pdf) [Українська (Ukrainian)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20pager%20-%20Ukrainian.pdf) [اُردو (Urdu)](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Urdu.pdf) [Tiếng Việt (Vietn](https://www.undp.org/sites/g/files/zskgke326/files/2023-06/SECU%20SRM%201%20Pager%20-%20Vietnamese.pdf) |

* + [Video for stakeholders and partners on SRM/SECU](https://youtu.be/fcTte1m9dh8)
* Established procedures to require project management to confirm and document stakeholder awareness of the UNDP Accountability Mechanism through periodic checks with potentially affected project stakeholders

1. **Report and learn**

Implemented procedures to ensure continued learning and improvement, including systems to:

* Inform the SRM at corporate level of each new complaint and provide updates
* Provide regular reports on complaints, responses, and outcomes to the SRM at corporate level and identify successes, challenges, trends, and lessons learned
* Receive regular (bi-annual or annual) reports on complaints from each project under implementation, and collaborate with project managers to identify successes, challenges, trends and lessons learned
* Disclose the SRM's work, including summary reports on individual cases and trends on the CO website and other appropriate media in the relevant national language(s)

# CHECKLIST: HANDLE A COMPLAINT SUBMITTED TO YOUR CO SRM

Use this checklist to guide the process of handling a complaint submitted to the Stakeholder Response Mechanism (SRM) of your UNDP Country Office (CO).

**Complaint received** on \_\_\_/\_\_\_/\_\_\_ about \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

**Receive the complaint and determine eligibility**

* **Logged** **complaint** in the complaint tracking system, informing the SRM at corporate level
* Within 2 business days: **Acknowledged** **receipt**, writing to the complainant to inform the assigned tracking number and explain that the complaint is being reviewed for eligibility
* **Determined eligibility[[4]](#footnote-4)** and informed the complainant

[If the complaint is determined ineligible, the process ends here]

* **Requested a meeting** with the complainant to discuss concerns and develop a response

**Assess complaint and develop response**

* **Met with the complainant**
* Checked if they wish to maintain their identity confidential from project counterparts
* Discussed their concerns
* Clarified what they have observed or experienced that leads them to believe that the Implementing Partner and/or UNDP contributed to impact or risk of impact
* Asked what action they would like UNDP and/or the Implementing Partner to take to address the perceived risk or impact
* If needed, provided technical assistance via NGOs or other organizations viewed as legitimate by the complainant and capable of supporting the complainant’s informed participation in the process
* **Met with the relevant project management counterparts**
* Clarified their understanding and views on the issues raised
* Clarified areas of agreement and disagreement with the complainant regarding project actions/inactions, risks and/or impacts
* Explored possible responses to the complainant’s concerns, including any action requested by the complainant
* As necessary, **held additional meetings**, also with other relevant stakeholders, including facilitation of meetings between the complainant and project management as needed
* **Developed a proposed response**

**Seek agreement and implement if agreed**

* **Presented the proposed response** to both the complainant and project management, facilitated dialogue, and adjusted the proposed response as appropriate

**If there is agreement:**

* **Monitored response implementation**
* **Confirmed** with the complainant and project management that the **response has been implemented**
* **Confirmed** with the complainant that the **response has addressed their concerns**
* If the implemented response does not fully satisfy the complainant, **facilitated additional dialogue and negotiation** to explore additional responses
* If the implemented response satisfies the complainant, **documented the outcome and closed the case**
* **Notified** project management and the corporate SRM, and ensured the case record is available to the corporate SRM

**If after 60 days there is no agreement or implementation does not satisfy the complainant:**

* **Advised** the complainant on other options (e.g., corporate SRM, Social and Environmental Compliance Unit (SECU) for compliance review, national administrative and/or judicial mechanisms)
* **Documented** the options offered, the complainant’s stated choice among the options, and the action taken by the SRM to facilitate access to the SRM at corporate level and/or to SECU

# CHECKLIST: DETERMINE ELIGIBILITY OF A COMPLAINT SUBMITTED TO YOUR CO SRM

Use this checklist to determine eligibility of complaints submitted to the Stakeholder Response Mechanism (SRM) of a UNDP Country Office (CO).

* We have all the information required to determine eligibility

**or**

* We’ve contacted the complainant to request the required information

**The complaint is eligible if it meets all the below criteria:**

* Is not anonymous[[5]](#footnote-5)
* Has not been filed fraudulently or maliciously
* Relates to a current or proposed UNDP project, **and**
  + Does not relate to UNDP procurement or employment
  + Is not about allegations of fraud or corruption
  + Does not relate to a project where UNDP’s role has ended and UNDP has no feasible pathway to address the complainant’s concerns
  + Does not relate to a project where UNDP is one of several partners and not responsible for the specific issues raised
* Unless there is new information or a significant change in circumstances, is not a repeated complaint by people who have already received an SRM response on the same issue
* Explains how the complainants have been experiencing or may experience adverse socio-economic or environmental impacts from the project
* Indicates that the complainant has concerns about communicating directly with the Implementing Partner, a project grievance redress mechanism (GRM), and/or UNDP project managers/developers (due to fear of retaliation or other adverse consequences)

**or**

* Indicates what steps the complainant has already taken to try to resolve the complaint in good faith through:
  + - * For UNDP projects executed by Implementing Partners:
* an Implementing Partner GRM (if one exists), **or**
* dialogue with the Implementing Partner’s project manager and the relevant UNDP staff supporting the project (normally via Project Board or equivalent)
  + For UNDP Direct Implementation projects:
* a project GRM (if one exists), **or**
* dialogue with the relevant UNDP project manager (normally via Project Board or equivalent)

**Conclusion and actions taken**

* **Eligible**
  + Have contacted the complainant to indicate that the complaint is eligible, and request a meeting to discuss the concerns and develop a response
* **Ineligible**, after consultation with HQ SRM
  + Have contacted the complainant, explaining the reason for ineligibility
  + (If possible) With the complainant’s agreement, have referred them to:
    - the appropriate UNDP office (for procurement issues or allegations of fraud or corruption), **or**
    - another relevant institution that may be able to respond to the complaint

1. See *CHECKLIST: HANDLE A COMPLAINT SUBMITTED TO YOUR CO SRM* [↑](#footnote-ref-1)
2. Procedures will be aligned with the UN Protocol on Provision of Assistance to Victims of Sexual Exploitation and Abuse: <https://psea.interagencystandingcommittee.org/victim-survivor-centred-assistance> [↑](#footnote-ref-2)
3. Including the option to bring complaints to project GRM where a GRM is required, and to the UNDP Accountability Mechanism, including the SRM and Social and Environmental Compliance Unit [↑](#footnote-ref-3)
4. For more details see the *CHECKLIST: DETERMINE ELIGIBILITY OF A COMPLAINT SUBMITTED TO YOUR CO SRM* [↑](#footnote-ref-4)
5. UNDP staff responsible for operating the Stakeholder Response Mechanism will respect requests for confidentiality (including confidentiality from UNDP project/ Country Office staff) and make every effort to maintain confidentiality where the complainant has a concern about retaliation or other adverse impacts, until and unless the complainant agrees to disclose his/her/their identity. Record keeping and information sharing about SEA survivor assistance will adhere to the ‘do no harm’ and confidentiality principles and the survivor’s personally identifiable information will remain confidential unless the survivor expressly consents to it being shared. [↑](#footnote-ref-5)