

Grievance Registration Form

The sample intake and case record form behind Step 1 of the 6–Step Grievance Process: six sections from identification to close-out, with severity criteria and the completed example from Chapter 5.

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This form standardizes intake documentation at Step 1: Receive and Document of the 6–Step Grievance Process (see Chapter 5, Step 1). Adapt it to your operating context: translate it into local languages, adjust the intake channel options to match your mechanism, and align the severity criteria with your project’s risk profile.

PRACTITIONER TIP

Print this form on a single A4 sheet (both sides). Train intake staff to complete it during the initial interaction with the complainant. Electronic versions should replicate these fields in your case management database. Every field in this form feeds a KPI defined in Chapter 8. Missing fields produce data gaps that undermine performance measurement.

Section 1: Grievance Identification

Grievance Reference No.	
Date of Receipt	
Received By (Name/Role)	
Intake Channel	

Intake Channel Options (check or circle one): In-person at site office / Community focal point / Phone / SMS or WhatsApp / Written letter or suggestion box / Email or web portal / Third party on behalf of complainant / Anonymous submission

Section 2: Complainant Information

Name (or “Anonymous”)	
Gender	
Age Group	
Community / Village / Location	
Preferred Contact Method	

Preferred Language	
Filing on Behalf of a Group?	
If Yes, Group Description	

Age Group Options: Under 18 / 18–30 / 31–50 / 51–65 / Over 65

Gender Options: Female / Male / Other / Prefer not to say

WARNING / PITFALL

If the complainant requests anonymity, record “Anonymous” in the name field and do not record contact details. Assign the reference number and explain to the complainant that follow-up will require them to contact the mechanism using their reference number. Confidentiality protocols (Chapter 6) govern access to all complainant data. For grievances related to gender-based violence (GBV), apply the confidential intake procedures described in Chapter 4 and restrict access to the designated confidential case handler.

— Section 3: Grievance Description

Description of Concern (in the complainant’s own words)	
Date Impact Occurred (if known)	
Location of Impact	
Grievance Category	
Previous Grievance Filed on Same Issue?	
If Yes, Previous Reference No.	

Grievance Category Options (select one primary category): Land and property / Water quality or quantity / Dust and air quality / Noise and vibration / Traffic and road safety / Resettlement and displacement / Employment and labor conditions / Contractor conduct / Environmental damage / Cultural heritage / Health and safety / Gender-based violence (GBV) / Security-related / Community investment or benefit-sharing / Other (specify)

— Section 4: Preliminary Assessment

This section is completed by the Grievance Officer within two business days of receipt (see Chapter 5, Step 2).

Severity Rating	
Assigned To (Name/Role)	

Date of Assessment	
Target Resolution Date	
Acknowledgment Sent?	
Date of Acknowledgment	

Severity Rating Criteria:

Level	Criteria	Target Resolution
Level 1: Routine	No harm to person; localized, routine impact on one or a few individuals; resolvable at site level.	30 business days from receipt.
Level 2: Elevated	Material harm to property, livelihood, or well-being; broader or group impact; or a repeat issue.	45 business days from receipt.
Level 3: Critical	Risk to life, health, or rights; widespread impact; or a case critical to the community relationship. Escalate immediately.	60 business days from receipt.

— Section 5: Resolution Record

Complete at the conclusion of investigation and remedy negotiation (Steps 4 and 5 of the 6–Step Process).

Investigation Summary	
Remedy Agreed	
Remedy Type	
Mediation Used?	
Date of Agreement	
Implementation Deadline	

Remedy Type Options (the five remedy types, plus administrative outcomes): Restitution (repair or return of what was lost) / Compensation (financial or in-kind) / Rehabilitation (support to restore health or livelihood) / Satisfaction (acknowledgment, apology) / Guarantees of non-repetition (change to operational practice) / Combination (specify) / No remedy (grievance not substantiated) / Referred to external mechanism

— Section 6: Close-Out

Complete at Step 6: Follow-Up and Close-Out (see Chapter 5, Step 6).

Remedy Implemented?	
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Date of Implementation	
Complainant Satisfaction Confirmed?	
Satisfaction Survey Score (1–5)	
Appeal Filed?	
If Yes, Appeal Reference No.	
Case Status	
Date of Close-Out	
Closed By (Name/Role)	

Case Status Options: Resolved, complainant satisfied / Resolved, complainant dissatisfied (appeal filed) / Resolved, complainant dissatisfied (no appeal) / Unresolved, referred to external mechanism / Withdrawn by complainant

PRACTITIONER TIP

The satisfaction survey score (1–5) feeds directly into the average complainant satisfaction KPI (Chapter 8). Collect this score at every close-out, including cases where the complainant is dissatisfied. Capture the reason for dissatisfaction in a free-text field (not shown on this form but required in the electronic database). Dissatisfaction data is as valuable as satisfaction data: it identifies where the mechanism’s processes or remedies are falling short.

— Appendix A.2: The Form in Use: A Completed Example

This is the case followed through Chapter 5: the cracked cistern logged on market day, reproduced here as the completed record.

Form Field	Entry
Section 1: Identification	
Grievance Reference No.	GRV-0237
Date of Receipt	Day 1 (market day intake)
Received By	Community focal point
Intake Channel	Community focal point
Section 2: Complainant	
Name	Withheld at the complainant’s request
Gender / Age Group	Male / 51–65
Community / Location	Village about 3 km from the pit
Preferred Contact Method	Through the community focal point

Preferred Language	The complainant's local language
Filing on Behalf of a Group?	No
Section 3: Description	
Description (complainant's own words)	"The blasting cracked my cistern. The crack runs from the lip to the base. When the rains come, the water will not hold. And the dust from the haul road sits on my beans."
Date Impact Occurred	Three blast dates recalled by the complainant; one corrected at acknowledgment
Location of Impact	Homestead cistern and adjacent crop plot
Grievance Category	Land and property (cistern), primary; Dust and air quality (crop impact), secondary
Previous Grievance on Same Issue?	No
Section 4: Preliminary Assessment	
Severity Rating	Level 2: material harm to property with a livelihood consequence if the cistern fails in the rains; single household; no immediate risk to life or rights
Assigned To	Senior Grievance Officer
Date of Assessment / Target Resolution	Day 2 / day 45 (Level 2 standard)
Acknowledgment	Sent day 3, within the five-day standard, through the focal point, spoken and in writing
Section 5: Resolution Record	
Investigation Summary	Day 9: joint site visit with the blasting engineer and an independent agronomist; seismograph records for the three blasts reviewed with the complainant at the table; yield loss verified
Remedy Agreed	Cistern repair; compensation for verified yield loss; revised blasting schedule for the nearest bench; dust suppression watering on the haul segment
Remedy Type	Combination: restitution (repair), compensation (yield loss), guarantees of non-repetition (revised schedule, watering)
Mediation Used?	No; agreement reached in direct negotiation
Date of Agreement	Day 24
Implementation Deadline	Extended once, documented: the revised schedule awaited mine planning approval; the new date communicated before the original passed
Section 6: Close-Out	
Remedy Implemented?	Yes; verified day 38: cistern filled to test the seal, compensation confirmed, watering observed
Complainant Satisfaction Confirmed?	Yes; survey score 4 of 5; his words: "slow but fair"
Appeal Filed?	No
Case Status	Resolved, complainant satisfied

Date of Close-Out / Closed By	Day 90: follow-up confirmed the cistern holds rainwater and the watering continues; close-out signed by the complainant / Grievance Officer
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Every field on this form feeds a KPI. Missing fields are data gaps.

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