



**Feedback and Grievance Redress
Mechanism for the REDD+
Program of Bhutan**



Report Edition

Mr. Lobzang Dorji, Director, Department of Forests & Park Services (DoFPS)

Ms. Sigyel Delma, Chief Forestry Officer, Watershed Management Division (WMD), DoFPS

Dr. Jigme Tenzin, Dy. Chief Forestry Officer, National REDD+ Coordinator, WMD, DoFPS
Dorji Gyaltsen, Senior Forestry Officer, WMD, DoFPS

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Feedback and Grievance Redress Mechanism for the REDD+ Program of Bhutan

Watershed Management Division

Department of Forests and Park Services

Thimphu Bhutan

September, 2021





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ROYAL GOVERNMENT OF BHUTAN
DEPARTMENT OF FORESTS & PARK SERVICES
MINISTRY OF AGRICULTURE & FORESTS
THIMPHU: BHUTAN



DIRECTOR

FOREWORD

With forest cover of 70.46 % and rich biodiversity, Bhutan is recognized as a leader in environmental conservation and management. At the national level, our forests have been providing various ecosystem services for the benefit of the people and national development. However, the forest sector has also been facing challenges in terms of increasing deforestation and forest degradation which is further worsened by the climate change impacts. To tackle the issues, the Department of Forests & Park Services (DoFPS) has been pursuing sustainable forest management and conservation through various initiatives and activities.

REDD+ is one of the many initiatives that the DoFPS has undertaken towards contributing to the main goal of sustainable forest management and conservation. Department's decision to pursue REDD+ and implementation of the REDD+ Readiness phase is part of our on-going commitment to high-quality management of our forests. During the REDD+ Readiness phase, the REDD+ components such as National REDD+ Strategy & Action Plan, National Forest Monitoring System (NFMS), National Forest Reference Emission Level & National Forest Reference Level and the Safeguards framework. The next phase of the REDD+ program is expected with the implementation of the REDD+ Strategy & Action Plan through the REDD+ Investment and Implementation Proposal. During the implementation of the REDD+ activities, any grievances that might arise will need to be taken care by the Feedback & Grievance Redress Mechanism (FGRM), which has been developed and now ready for implementation.

The FGRM which is part of the safeguard framework is developed with a rationale to assist the policy makers and relevant stakeholders in building and implementing a long term and effective REDD+ program anchored in good forest governance that leads to sustainable forest management, contribute to poverty alleviation and promote sustainable livelihoods for Bhutanese citizens. The design of the FGRM is also aimed at reducing the vulnerability of the local communities and vulnerable groups and strengthening their participation and ensuring accountability of the program. The FGRM is not intended to be a substitute for legal or administrative systems or other public or civic mechanisms or limits the right of complainants to take people's grievances to other more formal recourse options. Also, feedback and grievance mechanisms are designed along a set of guidelines and standards, designed by organizations that facilitate and support individual countries in progressing through a REDD+ implementation process

Therefore, let me congratulate Watershed Management Division for developing this Feedback Grievance Redress Mechanism, which will be useful document for the Department during the implementation of the REDD+ program and also other relevant programs of the Ministry and the Department.

Trashi Delek

Lobzang Dorji
Director

Abbreviations

ADRA	Alternative Dispute Resolution Act
CAMU	Court Annexed Mediation Unit
CAS	Country led Approach to Safeguards
CCPC	Civil and Criminal Procedure Code
CF	Community Forests
CFMG	Community Forest Management Group
CFO	Chief Forestry Officer
DFO	Division Forest Office
DoFPS	Department of Forests and Park Services
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Sustainability
FCPF	Forest Carbon Partnership Facility
FGRM	Feedback and Grievance Redress Mechanism
FMU	Forest Management Unit
FNCA	Forest and Nature Conservation Act
FNCRR	Forest and Nature Conservation Rules and Regulations
FPIC	Free Prior Informed Consent
FP	Focal Point
FREL	Forest Reference Emission Level
GCF	Green Climate Fund
GNH	Gross National Happiness
GRM	Grievance Redress Mechanism
IFC	International Finance Corporation
INDC	Intended Nationally Determined Contribution
LGA	Local Government Act
MoAF	Ministry of Agriculture and Forests
MoEA	Ministry of Economic Affairs
MoWHS	Ministry of Works and Human Settlement
MRV	Monitoring, Reporting and Verification
NEC	National Environment Commission
NEPA	National Environment Protection Act
NGOs	Non Government Organizations
NLC	National Land Commission
NRS/AP	National REDD+ Strategy/Action Plan
NWFP	Non Wood Forest Product
PAMs	Policy and Measures
PES	Payment for Environmental Services
PHCB	Population and Housing Census of Bhutan
PLRs	Policy, Law and Rules

REDD+	Reducing Emissions from Deforestation and forest Degradation, Conservation of forest carbon stock, sustainable management of forests and enhancement of forest carbon stocks
RO	Range Office
R-PP	Readiness Preparation Proposal
SESA	Strategic Environmental and Social Assessment
SIS	Safeguard Information System
SoI	Summary of Information
SRF	State Reserved Forests
STUDP	Secondary Towns Urban Development Projects
ToR	Terms of Reference
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations Programme on Reducing Emission from Deforestation and Forest Degradation
WMD	Watershed Management Division

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Chapter 1: Introduction

1.1 Setting the Context

Bhutan with a total geographical area of 38,394 km² is located in the Eastern Himalayas. The most dominant land cover is forest, covering 70.77% of the total land area (LULC/NFI 2016/17) making it by far the largest land use. Within a distance of less than 175 km, the altitude declines from approximately 7500 m in the north to approximately less than 100 m asl in the south. The country houses about 0.73 million people (PHCB 2017) of which about 69% depends on subsistence farming with high dependence on the forests for their livelihood.

With a significant land area managed and maintained under forest cover associated with rich biodiversity, Bhutan is recognized as a leader in environmental stewardship. Nation's strong commitment to its forests stems directly from the Constitution of the Kingdom of Bhutan. At the 15th Conference of Parties to the United Nations Framework Convention on Climate Change (UNFCCC) in 2009, Bhutan declared to remain carbon neutral. Further, in 2015, Bhutan's Nationally Determined Contribution (NDC) which was submitted to the UNFCCC as part of the Paris Agreement on climate change strengthened the carbon neutrality pledge. The NDC emphasizes the importance of adaptation and mitigation for Bhutan's forests, given future climate change impacts to its mountain ecosystems. The forest component of the NDC is expected to be achieved through the implementation of Bhutan's on-going REDD+ program (Reducing Emissions from Deforestation and Forest Degradation in developing countries, and the role of conservation of forest carbon stocks, sustainable management of forest and enhancement of forest carbon stocks). The REDD+ is a mechanism under the UNFCCC, whereby it creates a financial value for the carbon stored in forests by offering incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. Developing countries would receive results-based payments for results-based actions. Bhutan being a signatory to the UNFCCC and is a REDD+ partner country, the REDD+ was formally initiated in 2010.

Bhutan is currently implementing the Readiness Preparation Program with the funding support from the Forest Carbon Partnership Facility (FCPF) of the World Bank, so as to make the country REDD+ ready to engage and benefit from the potentially emerging REDD+ program within the context of the international climate change negotiations of the UNFCCC. During the readiness phase, Bhutan needs to design several structures and processes to address Drivers of Deforestation and Forest Degradation and measures to improve conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks. These structures as per the Warsaw REDD+ Framework are: establish an effective REDD+ management structure, conduct a broad and inclusive consultation and participation of stakeholders, prepare a national REDD+ strategy, develop a reference scenario (FREL), develop a system for measuring, reporting and verification (MRV) and a national monitoring, evaluation and safeguard framework. The readiness program has been making steady progress to establish these structures and processes until today.

One of the requirements under the readiness management structure is to put in place a Feedback and Grievance Redress Mechanism (FGRM) to address any potential grievances or conflicts that might arise during the implementation of REDD+ program.

1.2 Rationale for FGRM development

As Bhutan graduates from the Readiness phase and moves to the implementation phase of the REDD+ program, there is possibility of potential conflicts over forest resources and on sharing cost and bene-

fits from implementing Bhutan's the REDD+ strategy. It is therefore necessary for the country to design and develop a Feedback and Grievance Redress Mechanism (FGRM) to address any potential conflicts and grievances due to the implementation of REDD+ activities. Under the REDD+ framework, a Feedback and Grievance Redress Mechanism is defined as:

- A process for receiving and facilitating resolution of queries and grievances from affected communities or stakeholders related to implementation of REDD+ activities; and
- A mechanism to focus on flexible problem-solving approaches to dispute resolution through options such as fact finding, dialogue, facilitation or mediation.

The broad rationale for developing the FGRM is to assist the policy makers and relevant stakeholders in building and implementing a long term and effective REDD+ program anchored in good forest governance that leads to sustainable forest management, contribute to poverty alleviation and promote sustainable livelihoods for Bhutanese citizens. The design of the FGRM is also aimed at reducing the vulnerability of the local communities and vulnerable groups and strengthening their participation and ensuring accountability of the program.

The mechanism will not be intended to be a substitute for legal or administrative systems or other public or civic mechanisms or limits the right of complainants to take people's grievances to other more formal recourse options. Also, feedback and grievance mechanisms are designed along a set of guidelines and standards, designed by organizations that facilitate and support individual countries in progressing through a REDD+ implementation process.

Chapter 2: Process for FGRM development

2.1. Approach to FGRM development

An inclusive and adaptive process has been followed for the development of this FGRM to make it effective and practical. Due to the embedded nature of the FGRM and requirement of a thorough understanding of the context, the design process followed an exploratory and multidisciplinary approach. The design process has also taken into consideration the existing social, economic and political structures in Bhutan, so as to formulate an integrated, acceptable and functional FGRM. During the process, extensive consultations were conducted with stakeholders across the country (national, regional and local level) with varying traditions and level of literacy, livelihoods, forest dependency and management. The main thrust in the initial phase was to capture all relevant social, economic, legal and environmental issues concerning natural resource management in the country with strong focus to grievances related to forest governance. Additionally, the review and gap analysis of existing policies, laws, regulations, institutional roles and procedures was carried out to ensure that the FGRM is fully integrated in Bhutan's overall REDD+ architecture rather than a stand-alone mechanism.

For an effective and efficient development of the FGRM which suits the current national institutional, economic and social circumstances and remains dynamic and responsive to future needs, an integrated and systematic approach consisting of three distinct phases (Figure 1) was adopted. Through this approach, critical data and information were generated for the design and development of the FGRM which is responsive to the needs of all stakeholders in addressing potential grievances resulting from the implementation of the REDD+ program in Bhutan.

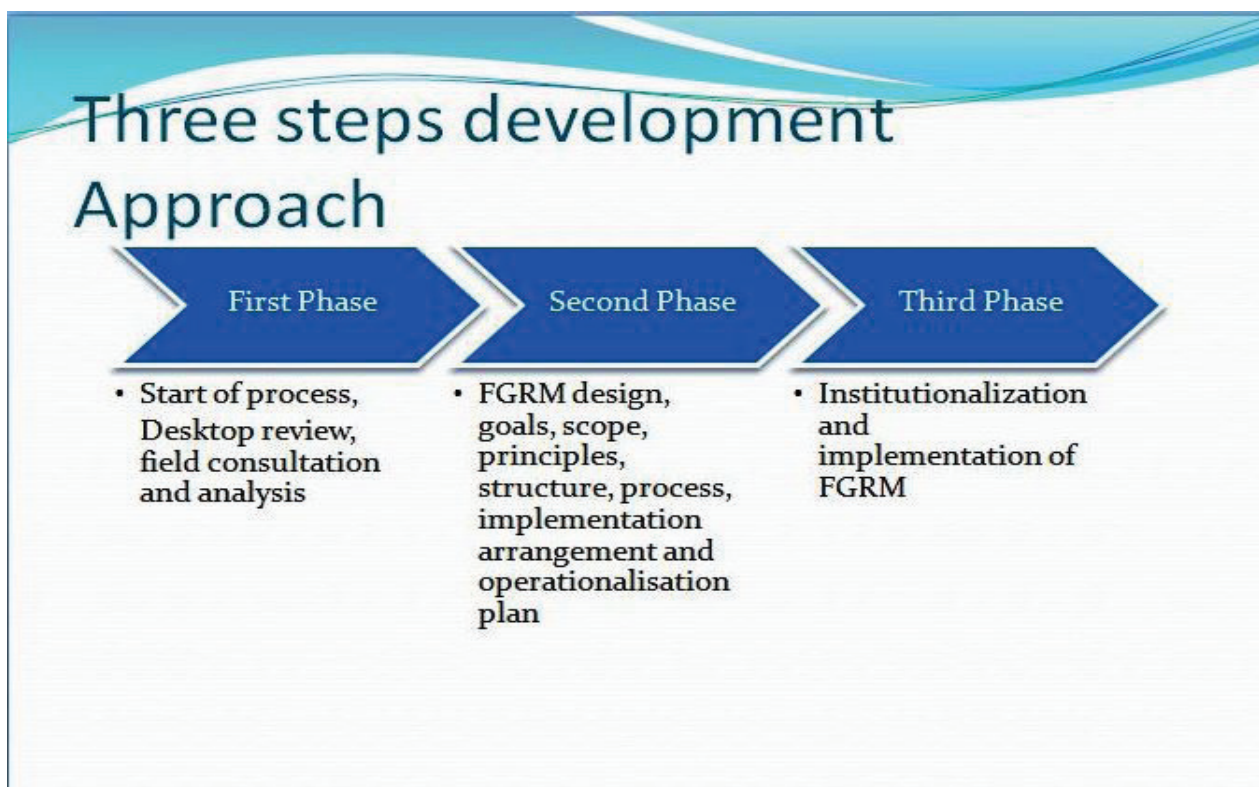


Figure1: Logical steps for developing Feedback and Grievance Redress Mechanism

2.1.1. Phase One: Inquiry and Analysis

This phase consisted of exploratory desk reviews and field investigations. During the desk assessment of relevant literatures covering social, legal, environmental and conflict aspects related to natural re-

source (forests) governance, all necessary baseline information on grievances, the historical trends, current practices and potential future grievances of local communities, vulnerable groups and other stakeholders were documented. Relevant research questions designed to collect the information were adapted and formulated based on guidance provided by the FCPF and the UN-REDD Program for REDD+ countries.

Following the desk research and review, a nationwide consultation process was conducted to gather the views of stakeholders that include local and vulnerable communities, forest officers, academia, civil society and decision makers in Government.

2.1.2. Phase Two: Design and Development

In the second phase, the focus was on the design of structure and the procedure for the proposed FGRM. The design and development process included strategic choices based on purpose and functionality of the FGRM, as well as integrating the mechanism into the national REDD+ program implementation. Apart from inferences from desk review and field consultations, the design process has also adapted the essential contents for a FGRM framework provided in the *FCPF/UN REDD Program Guidance Note for REDD+ Countries*. In addition to the grievance mechanism, an action plan for the operationalization of the FGRM is also formulated to facilitate smooth implementation of the mechanism.

2.1.3. Phase Three: Institutionalization and implementation

Phase 3 will entail the actual implementation of the FGRM and will consist of setting up the required institutional arrangements and procedures for the FGRM.

Chapter 3: International Standards and Guidelines related to REDD+ Grievance Redress Mechanisms

For Bhutan as a participating REDD+ country, it is essential that various covenants and international standards are considered while developing the FGRM. The requirement of the FGRM in the National Readiness Arrangement is an integral component of the Safeguards of UNFCCC, the World Bank FCPF and other international organizations. International laws, agreements, guidelines and negotiation outcomes related to the global negotiations along with country specific circumstances guide the FGRM design and development. These are further elaborated below:

3.1 UNFCCC requirements (Cancun Safeguards)

In 2010, the Parties to the UNFCCC agreed upon seven safeguards to ensure that REDD+ is beneficial for all stakeholders and REDD+ implementation do no harm, especially marginalized groups which are largely dependent on forests. While all the seven safeguards have significance in grievance redressal, the specific safeguards on the rights of indigenous peoples (c) and stakeholder participation (d) are more relevant to the development of the FGRM.

Respect for the Rights of Indigenous Peoples (Cancun Safeguard c)

Under this safeguard, during the implementation of the REDD+ activities, the rights and traditional knowledge of the local people, vulnerable groups are to be protected and respected. This entails that the local communities have the right to raise their grievances that might arise because of not respecting the safeguard provisions while implementing REDD+ activities. To avoid such cases, the REDD+ program requires that prior consultation with the communities using the Free Prior Informed Consent (FPIC) be carried out. The FPIC is the establishment of conditions under which people exercise their fundamental right to negotiate terms of policies, programs, and activities that directly affect their livelihoods or wellbeing, and to give or withhold their consent to them. In the event of non-compliance with FPIC conditions while implementing the REDD+ program, there is potential for grievances, which need to be addressed through a proper grievances and redress system such as FGRM.

Stakeholder Participation (Cancun safeguard d)

The Cancun safeguard d, which relates to stakeholder participation in REDD+, envisages the rights-based and interest-based framework in which all stakeholders should be engaged. It includes plans to inform, consult and ultimately involve all groups that are directly and indirectly dependent on the forest in the engagement process. This safeguard requires the involvement of the communities in the REDD+ implementation process and also to address the grievances in a participatory process. In doing so, the developed FGRM should adhere to specific grievance guidelines of the FCPF/UNREDD Program.

3.2 REDD+ Social and Environmental Standards

The REDD+ Social and Environmental Standards (SES) are designed as a mechanism to manage the risks associated with the implementation of the REDD+ program. These broadly designed safeguard standards recognize REDD+ as a multi-stakeholder process which can be specifically used in the program design and implementation of REDD+ activities. These standards are adopted as part of a national safeguard system that consists of:

- policies, laws and regulations that set out the safeguards for REDD+;
- a safeguards information system for monitoring and reporting on safeguards implementation;
- and

- a grievance and redress mechanism that enables stakeholders affected by REDD+ activities to provide and receive feedback and develop appropriate responses related to the implementation of safeguards.

According to the REDD+ SES standards, grievance mechanisms are tools to ensure that relevant right holders and other stakeholders are participating fully and effectively in the REDD+ program. In order to meet this goal, the REDD+ program needs to identify and use processes for the effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program.

3.3 Forest Carbon Partnership Facility (FCPF)/UNREDD guidelines

For participating in REDD+ projects/program supported by the FCPF, every country implementing a FCPF REDD+ Readiness project, has to follow guidelines set forth by the World Bank and UNREDD-FCPF. As such, the stakeholder engagement process needs to proceed along a set of guidelines which include:

- Involvement of wide range of relevant stakeholders at the national, regional and local level
- Provision of transparency and timely access to information
- Consultations to facilitate dialogue and exchange of information
- Engagement of stakeholders occur voluntarily
- Engagement of forest dependent and local communities through their own existing processes, organizations and institutions
- Practice Free and Prior Informed Consent (FPIC)
- Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress

These guidelines provide an entry point for design and development of the FGRM, and should be developed along voluntary basis incorporating the principles of FGRM development.

3.4 World Bank operational policies and requirements

Countries receiving FCPF funding for readiness preparation through the World Bank are required to ensure compliance with the FCPF Readiness Fund's common approach to environmental and social safeguards for multiple delivery partners. The environmental and social policies of the Bank applicable to the Bhutan REDD+ Program are known as the 'Safeguards Policies' and it is a mechanism for addressing environmental and social issues in project design, implementation and operation. It provides the framework for consultations with communities and for public disclosure through the World Bank's Operational Manual, which is composed of individual Operational Policies and Procedures (OPs).

The Readiness Fund has two procedural safeguard requirements, namely the Strategic Environmental and Social Assessment (SESA), and the Environmental and Social Management Framework (ESMF). The SESA stems from environmental assessment (EA) requirements of the World Bank. It is intended to be an inclusive process whereby the REDD+ country, with the participation of all potentially affected stakeholders, seeks to "identify likely impacts and risks, as well as opportunities," among different strategic REDD+ options through the process. All REDD+ countries must produce an ESMF as a direct output of the SESA process. The ESMF lays out principles, rules, guidelines and procedures for assessing issues and impacts associated with planned REDD+ activities that may occur in the future but are not presently known or are uncertain. It largely provides a framework for REDD+ countries to address environmental and social issues and to address the grievances while implementing REDD+ program.

3.5 Green Climate Fund (GCF) standards

The REDD+ fund mobilization framework of Bhutan, developed as part of the REDD+ Readiness preparation, maps out the climate finance landscape, options, and opportunities available to solicit the required fund to transform and drive the implementation of the NRS. An optimal scenario that fits the domestic fiscal setting is to seek international grants (direct programme or project-based funding for REDD+) that can complement domestic financing or co-financing and leverage support from development partners and international financing mechanisms. The Green Climate Fund (GCF) is an important opportunity and promising option to raise additional resources.

The GCF is currently using the International Finance Corporation's (IFC) Performance Standards for Environmental and Social Sustainability as its 'interim' Environmental and Social Safeguards (ESS) standard, which consists of eight performance standards. According to the GCF, the determination of which of the GCF ESS are applicable to the REDD+ interventions will take into consideration the gaps assessed between the requirements of the GCF safeguards, Cancun Safeguards and the country's interpretation. The GCF ESS categorically requires relevant stakeholders have access to grievance mechanisms. The grievance mechanism should receive and facilitate resolution of Affected Communities' concerns and grievances concerning environmental and social performance.

The FCPF/UN-REDD, REDD+ SES and GCF standards and guidelines are considered in the design and the operational plan for the FGRM depending on the potential future involvement of these agencies to support REDD+ implementation.

Chapter 4: National imperatives and considerations for a FGRM

In order to inform the design of the FGRM, it is essential to understand the overall national context and considerations associated with Bhutan's REDD+ structure vis-a-vis the existing forest management arrangement. It is particularly important to understand the circumstances under which FGRM has to be grounded to address potential grievances arising during the implementation of the REDD+ program.

4.1 Present Environment

Bhutan as signatory to the UNFCCC, started the REDD+ program in 2010 and readiness phase implementation in 2013. Through the implementation of the REDD+ program, various REDD+ structures have been put in place and the country is now in an advanced stage of the REDD+ readiness phase. Bhutan was able to accomplish this due to an enabling environment such as the development pathways that is in synergy with the sustainable development goals based on the Gross National Happiness (GNH) philosophy. The enabling legal, social, institutional, fiscal and scientific environment have further strengthened the establishment of Bhutan's national REDD+ framework.

4.2 Country-led Safeguard Framework

After launching Bhutan's REDD+ program, one of the tasks undertaken was the development of the Road Map for Country-led Approach to Safeguards (CAS). The FGRM is an integral part of the Country-led Approach to Safeguards (Figure 2). The recommended steps and elements in the Road map for implementing the CAS in Bhutan are:

- i. Setting a national goal and scope
- ii. Frameworks for implementing safeguards
- iii. Development of Safeguards Information System
- iv. Development of a grievance and redress mechanism that enables stakeholders affected by REDD+ to receive feedback and resolution to the implementation of safeguards.

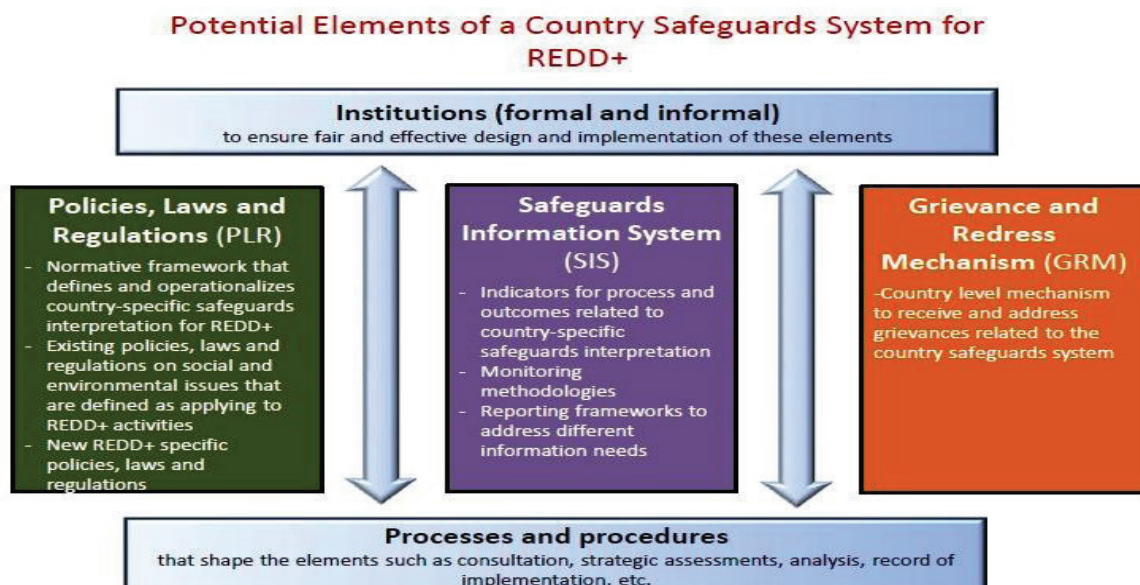


Figure 2: GRM as integral element of Country safeguard system for REDD+

4.3 National REDD+ Strategy & Action Plan implementation

The finalization and endorsement of National REDD+ Strategy & Action Plan (NRS/AP-2018) of Bhutan essentially marks the end of REDD+ readiness process and steps leading to the implementation phase of REDD+ program. The REDD+ Strategy & Action Plan's strategic options and corresponding policy and measures (PAMs) implementation is expected to commence soon through the development of the REDD+ Investment & Implementation proposal for the implementation of the National REDD+ Strategy & Action Plan. The implementation of the REDD+ activities under the PAMs will have to respect the UNFCCC Safeguards.

Apart from the UNFCCC (Cancun safeguards) requirements for REDD+ activities, additional safeguards will be triggered depending on the involvement of other agencies supporting the REDD+ program. In the context of Bhutan, the Strategic Environmental and Social Assessment (SESA) was conducted for formulating the ESMF as part of the REDD+ Readiness implementation of the Readiness fund of the FCPF/World Bank. The specific objective of the SESA has been to identify, assess and prioritize the potential social and environmental impacts that may arise from the implementation of the PAMs identified in the NRS. Accordingly, for each of the impacts and risks identified in the SESA, the applying safeguards are identified along with general mitigation measures to be used as guidance when applying the ESMF. Noncompliance in implementing the various mitigation measures to address the potential negative environmental and social impacts may result in grievances that the FGRM should effectively resolve for the affected stakeholders.

Chapter 5: Social Context of Forestry along with existing and potential grievances

The context of forest management practices in the past and their evolution to the current management systems provides a basis to understand the genesis of conflict and grievances, their nature, types and trends in the natural resources sector.

5.1 Historical Overview

Prior to 1960, there was not much clarity on land use systems in Bhutan. The first law which was enacted in 1959 after the formation of the National Assembly in 1953 known as the 'Supreme Law' for Bhutan (Thrimshung Chenmo) established a national land register (Thram). The national land register mandated the registration of all household and community land including agricultural and Sokshing land owned/used by households. Given the importance of subsistence farming practices, sokshings were crucial elements in the livelihood systems of farming communities. The majority of sokshings were owned by individual households, who managed it for supporting their livelihoods while adhering to local social customs that prohibited unjustifiable cutting. Traditional mechanisms to resolve sokshing related conflicts, generally rested on the principle of face-to-face dialogue, with resolution based on utilization of strong social networks. The long-held traditional approach to management of local forests began to change in the 1950s and more particularly with establishment of Department of Forests in 1952 followed by enactment of the Forest Act (1969), which legitimized the use and control of forest resources. The Forest Act of 1969 instituted a fundamental change in forest rights and accessibility by transferring ownership of forests and forest produce to the government. The Act designated all forests as 'government reserve forest', and brought them under the purview and management authority of the government. The first National Forest Policy was developed in 1974 to provide strategic guidance for forest conservation and management in the country. The National Assembly repealed the Forest Act, 1969 replacing it with the Forest and Nature Conservation Act (FNCA), 1995, which was followed by enactment of relevant forest rules and regulations revising the definition of forests and declaring all forests in Bhutan as State Reserve Forests.

Institutionally, starting mid-seventies to date, there have been progressive institutional restructuring efforts with the Department of Forests in the Ministry of Agriculture and Forests (MoAF) through the establishment of new forest divisions with the objective to increase outreach of forest administration and management, commencement of a social Forestry Program, the declaration of a Protected Area system, the initiation of a Program approach planning in forestry, decentralization of forestry programs and activities, the revision of the Forest Policy, Act and relevant rules and regulation and consequently a gradual paradigm shift in forest management and governance. Additionally, households and legal entities also have the right to get lease forest land (State Reserve Forests or SRF) for uses such as commercial agriculture, mining or other industrial activities subject to various clearances as per the applicable legislations. In addition, permits/licenses can be obtained for the use of forest products and grazing rights in forests. Specific rules on leasing SRF were developed by the NLC and MoAF. Lessees are required to adhere to the lease agreement and the technical guidelines on management of leased land.

The adoption of the Constitution of the Kingdom of Bhutan in 2008 followed by the introduction of a democratic governance was a historic national milestone that impacted forest resource management equally, providing enhanced impetus and focus not only on generation of direct revenue from forests but also to a multitude of indirect benefits namely conservation of water and soil, non-consumptive use such as eco-tourism, environmental services and generation of hydro-power and so on.

Amidst this evolution, forests have remained an integral part of the rural economy and livelihoods. At the same time, more organized, empirical and science-based forest management systems in the country have been established. Forest management in Bhutan has undergone a gradual paradigm shift due to the efforts from the government to improve resource management and provide multi-purpose benefits to different stakeholders. The power and rights of these stakeholders have also been changing, together with the management practices in different regimes.

5.2 Current Forest Management Regimes

Forest management in Bhutan are classified according to land ownership and types of management regimes primarily based on varying objectives in managing the forests. Very broadly, two categories of forest management systems are distinguished on the basis of ownership: State managed forests and privately managed forests. These are further designated into various management regimes based on more specific objectives of managing such forests. Privately managed forests are those areas where trees are grown and nurtured on private land. The owners of private forests are free to utilize the forest products according to their interests subject to the various provisions under Forest Act and Land Act and corresponding rules.

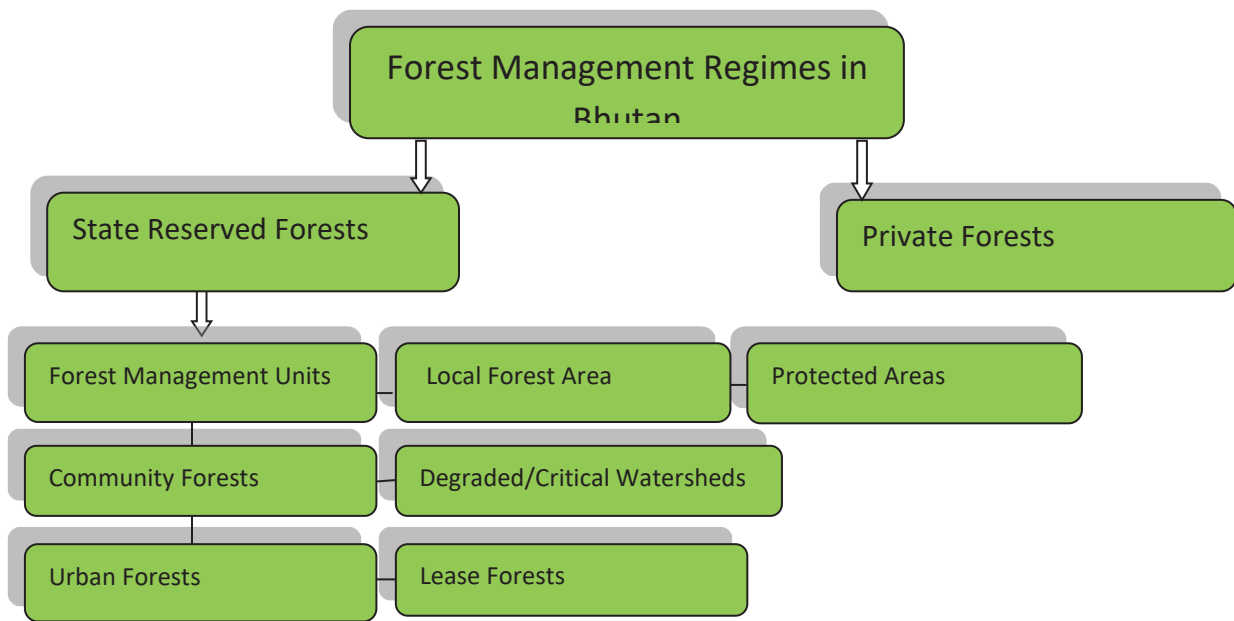


Figure 3: Types of Forest Management Regimes in Bhutan

The State managed forests are known as State Reserved Forests (SRF). The State owns the forest land and possesses the rights to delegate the authority to other agencies including local communities for management, control and utilization of such forests based on approved management plans. The state forests are further categorized into different management regimes namely, *Protected Areas*, *Degraded/Critical watersheds*, *Forest Management Units*, *Local forest area management regimes*, *Community forests*, *Lease forests*, *Urban forests* etc (Figure 3).

As part of understanding the grievances, drivers and trend in different management regimes, several interviews and consultative sessions were carried out during the nationwide consultation.

5.3 Grievances in Forestry, Nature, Category, Patterns and Trends

In general, grievances in Bhutan’s forestry sector are mainly due to contradictory interests, rights of users, decision making and benefit sharing with regards to forest land and resources. The existing grievances are identified and analyzed based on the secondary data and inputs from the stakeholders.

The grievances at the national level are largely between different stakeholders/parties because of competing interests between sectors for use of the SRF. For example, large scale development projects such as road infrastructure, mining and hydropower plants put significant pressure on forest land and resources. This type of differences in interests between different agencies is felt between officials operating in these sectors at the national, district and even at local level.

The grievances related to forest resources vary with stakeholder types and types of forest management regimes. Some of the grievances are due to the conflicts from forest grazing, NWFP collection, boundary disputes, encroachment, crop and livestock depredation, forest land and water source degradation and user rights in local forests traditionally used by the forest dependent communities. Communities also express grievances on restricted or exclusion of traditional rights when state forests are allocated to other land uses.

For regional stakeholders, lack of information and unequal access to forest resources were the two primary type of grievances whereas for local stakeholders it is REDD+ programmes and policies and unequal access to forest resources (Figure 4). The common understanding is that information/participation is an important aspect to minimize offenses and reduce grievances.

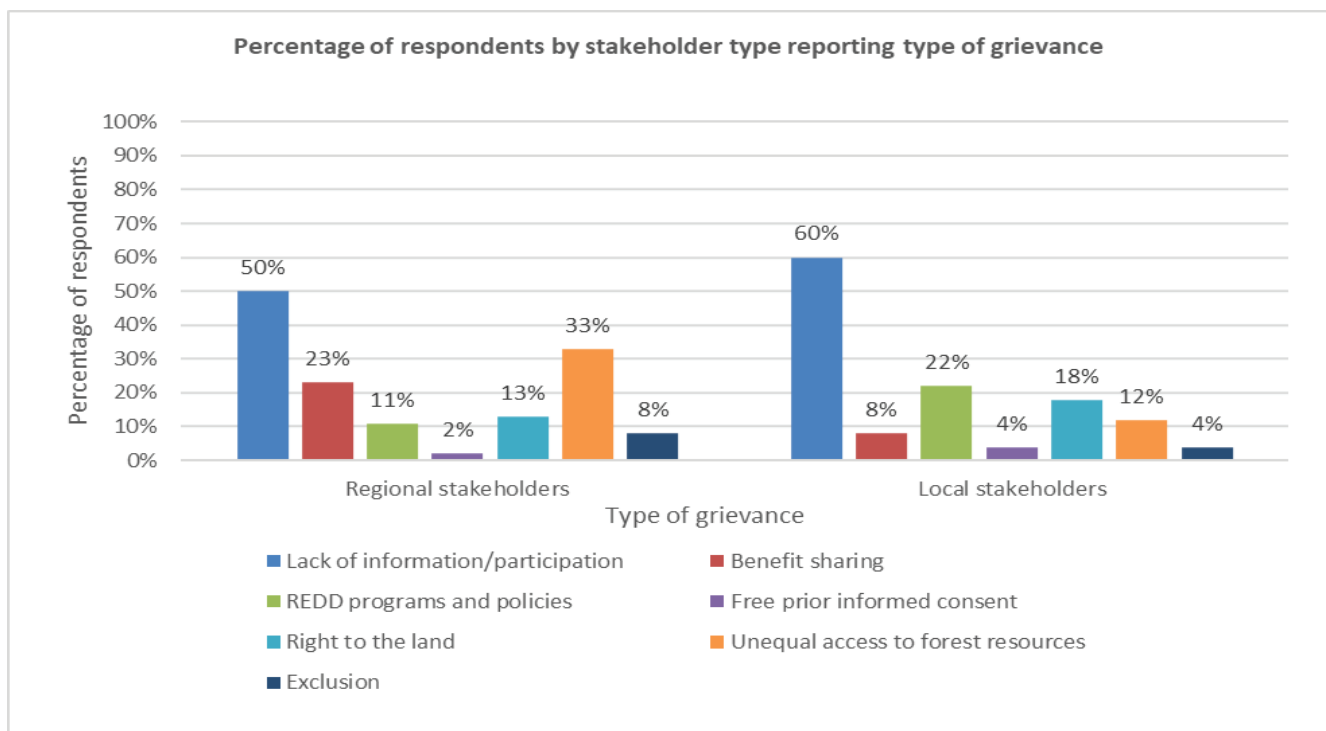


Figure 4: Percentage of respondents by stakeholder category reporting type of grievance

Other grievances articulated by the stakeholders are attributed to a number of generic anthropogenic causes such as illegal felling in forest management regimes, overgrazing by cattle, forest fires and forest diseases among others. Increasing forest cover due to reclaiming land and plantations too have adverse effects in terms of shrinking of arable land as well as an increase in human-wildlife conflicts affecting livelihoods in form of food insecurity and reduction in income.

In terms of grievances from the different management regimes, the perception of the stakeholders was that the majority of the grievances were from the protected areas followed by community forests, while FMUs and private forests are the regimes with least grievances. The preponderance of community forests units resulted in increasing forest area under community management and by extension that also means more grievances occurring within this regime (Figure 5).

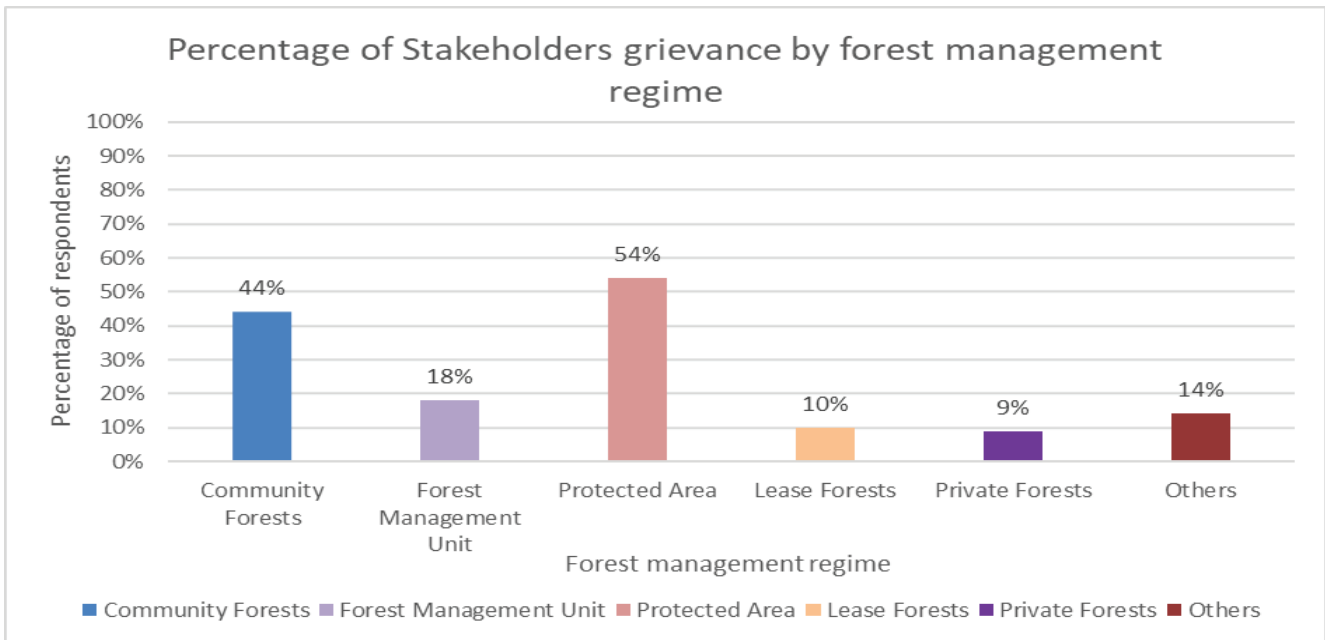


Figure 5: Percentage of respondents identifying grievances by forest management regime type

With regard to the broad category of drivers of grievances, there seems to be a general agreement among all respondents that environment, social and economic drivers are the priority drivers of grievances whereas legal, institutional and political drivers were less common (Figure 6). Environment drivers are those which has impact on the natural resources such as forests, water, land etc, while the social and economic drivers are those which relate to socio-economic aspects such as women’s marginalized position, elite capture, population pressures etc.

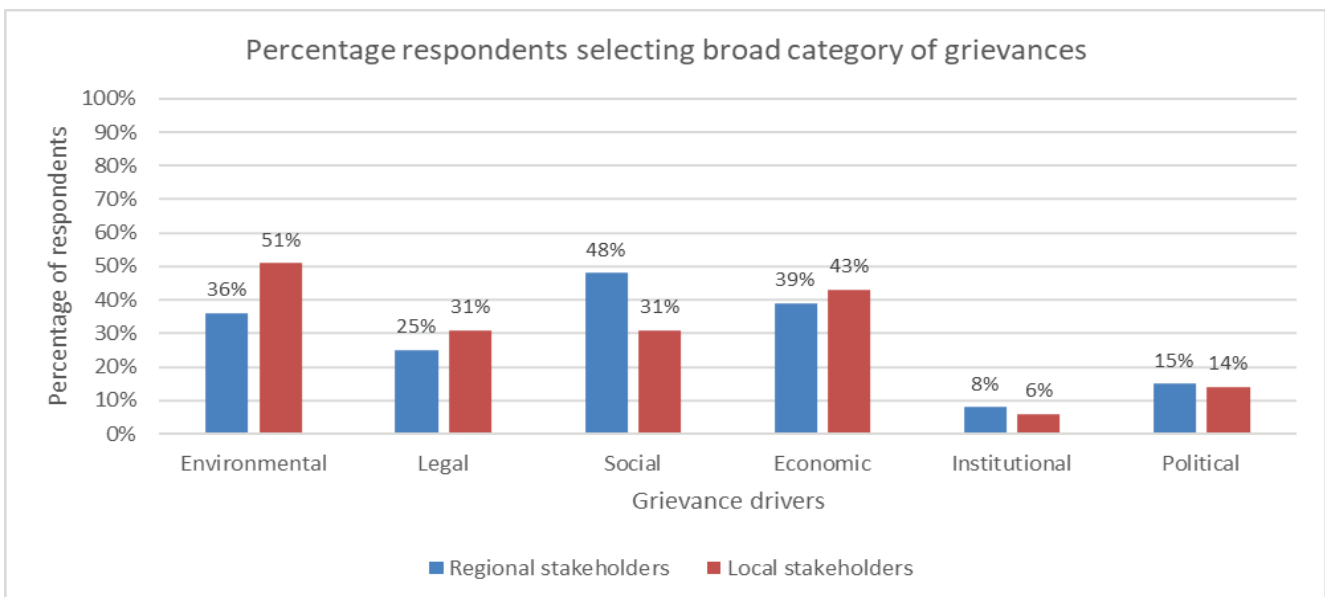


Figure 6: Percentage respondents selecting broad category of grievance drivers by stakeholder type

The survey shows that the majority of regional stakeholders are of the opinion that illegal felling of timber for both domestic and commercial use are the major drivers of forest-related conflicts (Figure 7). Concurrently, the local representatives stated that many conflicts occurred due to unauthorized ex-

traction of forest produce from CFs as well as from illegal collection of NTFPs for domestic use but less for commercial sale. Many respondents comprised of members of CFs, especially among local stakeholders, and this could possibly explain the results of most conflicts occurring in CFs than other forest management regimes.

In terms of coping strategies towards these grievances, the villagers reported the use of various strategies to address and mitigate potential conflicts and grievances. The preferred option is to access the conflict redress mechanisms which are resorting to the application of relevant legal provisions like the Forestry Act and rules and informal systems as appropriate. However, many respondents claimed that the measures were not effective and not always fair. Such situations force the affected stakeholders to resort to unauthorized acts of sustaining their needs like further illegal extraction, poaching, abandoning farming, in-country migration ultimately causing additional undesirable conflicts and grievances.

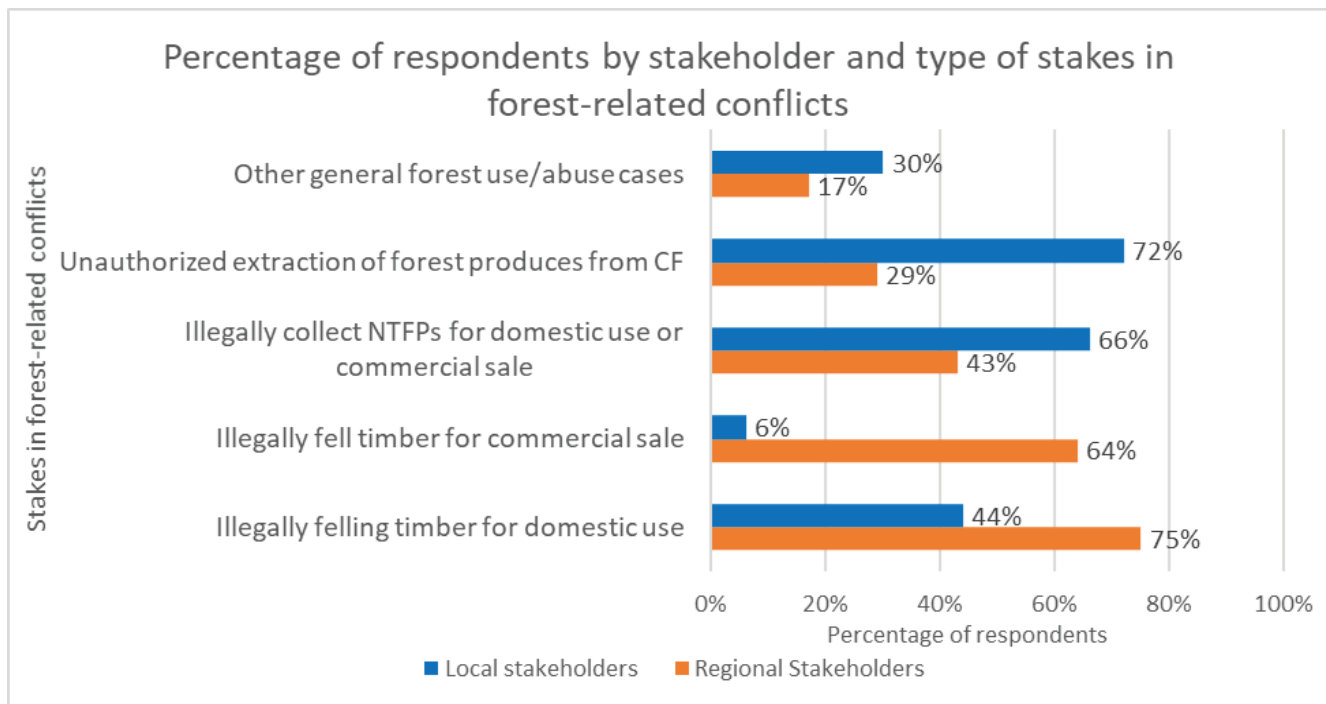


Figure 7: Percentage of respondents by stakeholder and type of stakes in forest-related conflicts

5.4 Potential future grievances related to REDD+ implementation

The implementation of the REDD+ program with the focus on reducing deforestation and forest degradation, enhancing sustainable forest management, and the conservation and enhancement of forest carbon stocks will have cross cutting stakes across all stakeholders and therefore, the potential for future grievances is likely. As such, for the development of a practicable FGRM, the review of existing grievances, the drivers of grievances and the current grievance and redress mechanisms were assessed through the nationwide stakeholder consultation meetings. The potential grievances are grouped under the different categories of environmental, socio-economic, legal and REDD+ structure related drivers/causes (Table 1).

The responses from the consultations show that there are grievances related to land use, decreased forest resources and elite capture of goods and services. People will continue to use forest resources with better accessibility and increasing competition for limited resources. In remote areas, using fuelwood as cheaper source of energy will continue if electricity is not provided at affordable price to meet people’s essential domestic needs. Livestock is an important component of people’s livelihoods and therefore livestock rearing for manure, food and cash will continue for foreseeable future. Land use

competition may lead to shrinkage of *tsamdros*¹ and arable land placing more pressure on forest land and resources. Besides, it would also raise competition for NWFPs.

The present problems of human wildlife conflicts are not expected to be solved anytime soon with no sustainable solution in sight. Existing policy and limited support to a compensation fund may continue amidst debate of whether it is justified to conserve the environment in lieu of peoples' needs or vice versa. These are important questions especially considering citizens' aspirations on grievances affecting their livelihood on one hand and the drive to maintain Bhutan as an environmentally safe haven.

1 Tsamdros is patch of land used for grazing by the cattle

Table 1: Drivers and potential Grievances with REDD+ implementation

Thematic category	Grievance Drivers/Causes	Potential REDD+ Grievances	Coping strategy by stakeholders	Potential for grievance	Existing mechanism for grievance redress	Effectiveness of GRM	Recommendations
Environmental	Loss of usable land, forest and water resources	Resource competition and conflict	Illegal extraction of resources, in country migration	High	Formal/Informal system	Medium	Improve oversight and promote alternatives
	Boundary dispute between different users	Loss of user right	Dispute resolution	Medium	Formal system	High	Enforce legal provisions
Socio-economic	FPIC not practiced	Violation of Rights	-do-	High	Forma/Informal system	Medium	Respect human right principles
	Acquisition of land by government	Fear of loss of user rights	Advocacy	-do-	Formal/Informal system	-do-	Ensure transparent and fair acquisition procedure
	Women's marginalised position	Power imposition within family and society	-do-	Medium	Informal/formal system	-do-	Increase awareness on gender policy
	Dominance of community leaders	Elite capture within community	Dispute resolution	High	Informal system	-do-	Increase awareness of individual rights
	Population pressure	Decreased user area	Illegal extraction, encroachment	-do-	Formal/Informal system	High	Enforce relevant rules
REDD+ structure	Changing interest of forest users	Need for more products	Shift to non forest dependent livelihood	Medium	Informal system	Medium	Provide guidance for alternatives
	Inadequate knowledge and information on REDD+	No effective participation on REDD+ program	Advocacy	High	Informal system	-do-	Improve knowledge of stakeholders on REDD+ program and structure
	Inequitable benefit sharing	Elite capture and unfair distribution of benefits	-do-	Medium	-do-	-do-	-do-
	More strict and restrictive user rules	Decreased user area	-do-	Low	-do-	-do-	-do-

Chapter 6: Regulatory Context of Forestry and Grievance Redress Mechanism in Bhutan

Designing the FGRM, it is essential to assess the present legal and regulatory framework and determine if these are effective enough to capture and respond to REDD+ related grievances. This entails the review of existing formal and informal grievance redress mechanisms related to the forestry and forest-relevant sectors and also a review of forestry and other legislations regulating grievances.

6.1 Review of Forest related Formal Grievance Redress Systems

Bhutan's REDD+ program covers the entire forest area of the country. It is therefore essential to review the existing legislations and procedures concerning forest user rights, and forest management to know different grievance redress systems currently used to address the conflicts and disputes and also to assess if there is any applicable and compatible legal basis for implementing the proposed FGRM.

6.1.1 Grievance Redressal under National Legislations

The various legal provisions under the Forest and Nature Conservation Act (FNCA 1995) and the Forest and Nature Conservation Rules and Regulations (FNCRR 2017) constitutes the fundamental basis for grievance redressal related to forestry activities and hence can be applied for the REDD+ activities. The other important national legislations that are relevant are the National Environment Protection Act (2007), Land Act of Bhutan (2007) and the Land Rules and Regulations (2007). The formal grievance redress mechanisms primarily include the punitive measures required for the violation of laws. The implementation of the provisions under various legislations and the actions taken under the national judiciary systems fall under this category. Considering the hierarchy of legislations, the prescriptions for forest management and conservation plans, technical regulations and binding guidelines, agreements and executive orders also stand valid for dispute resolution. Additionally, other Acts and Rules related to Forests and Environment, applicable provisions of Local Government Act 2009 and national laws such as Constitution of Bhutan (2008), Civil and Criminal Procedure Code (2011), Alternative Dispute Resolution Act (2013), Penal Code of Bhutan (2011) also provide basis for amicable grievance/conflict resolution. However, existing legislations do not provide a specific definition of goods and services from forests that fulfills the requirement of REDD+.

6.1.2 Rights and Grievances in Forest Managed under different Regimes

There are existing legislations and guidelines, which specify the rights over the forest resources. Some examples of existing legislations are Forest and Nature Conservation Rules and Regulations, 2017, Land Act 2007 and Land Rules and Regulations etc. The government can grant user rights to individuals, communities (for example Community Forests, Non wood forest groups) and institutions for managing the forests within the provisions of the law. However, some degree of confusion over the rights was reported during the stakeholder consultation meetings. For example, communities are not very clear about having only contractual/user rights over such forests rather than having legal rights. Such clarity is crucial in implementation of REDD+ measures and therefore, it is necessary to review the laws regarding rights over forests within the ambit of legal systems.

Government's Rights over Forests

The government is the custodian of all types of State Reserved Forest Land. Furthermore, the legislations have conferred rights to the government to bring any SRF under a forest management regime. The government may also abandon or transfer the ownership or alter the boundaries of any forest management regime by following necessary process under law. Any consequential loss or harm to any local individual or community due to such decision, the proponents are expected to compensate the loss to the affected parties.

User Rights over Forests

A special provision in the FNCA and relevant rules is, that peoples' rights to get subsidized forest produce from SRF for domestic consumption and use has been legalized. This is a legal window through which genuine needs of the citizens is met subject to fulfillment of entitlement criteria. Otherwise, Stakeholders and User groups have only contractual/user right (no ownership) over the SRF (example Community forests users have only right to use forest produce but no ownership rights) as defined under the respective laws. Different users'-based forest management with users' rights are community forests, lease forests, municipal and other institutional forests.

Within the existing land and forest laws, the government has the right to retract forest use from different users such as community forest users' group, institutional body and lease holders on necessity and reasonable grounds for doing so. However, respective groups and stakeholders must be given reasonable time to submit clarifications and consent before making such decisions. In case the users such as CFMG, other group and/or community are not satisfied with the decision made by the government, such stakeholders may file a complaint to the concerned agency for grievance redress.

6.1.4 Some Examples of Dispute Resolution Mechanisms in Bhutan

Forest related Grievances Redressal Mechanism:

There are several examples of dispute resolution that are relevant to the design and development of the FGRM within the scope of national legislations and some specific examples of Forestry Related Dispute Resolution Mechanisms

which are functional and currently being used are:

- i. Technical guidelines relating to the constitution of FMU committees in implementation of forest management plans and terms of reference of such committees. The forest management committee attends to any type of grievances in the implementation of forestry activities in the FMU at the local level
- ii. Functions of CFMG in implementation of community forests and their authorities to ensure compliance of the bylaws. The provisions in a CF management plan have strong component of grievance redress among the CF members
- iii. Implementation of terms and conditions of Lease agreement with respect to Lease Forests. The terms and conditions of a lease agreement form the fundamental basis for addressing any dispute and grievance among the concerned parties in a leased forest
- iv. Policy to meet the forest produce needs of the local communities before allocation to other consumers. Existing rural timber subsidy policy, rules and other technical regulations prioritizing forest produce supply to local communities are also partly intended to address grievances

- v. Recognition of traditional rights of the local community in conservation and protection of forest resources. This is an example where traditional and cultural interests are respected under legislation to minimize conflicts and grievances

General Grievances Redressal Mechanisms

In addition, some other entities/bodies that can have a role in dispute resolution relating to the forestry sector are the agencies empowered under:

- i. The provisions under Local Government Act 2009
- ii. The provisions under Alternative Dispute Resolution Act (ADRA) 2013
- iii. The Court Annexed Mediation Unit (CAMU)

The Local Governance Act mentions jurisdiction of the Local Government to handle grievances. The Dzongkhag Tshogdu and Geog Tshogde can settle different types of cases within their respective jurisdiction such as disputes about land boundary, public land, canals, water supply, compensation for damage of crops, forced labor, wages, pasture land, grass, fuel woods, water resource and security of public property among others. For hearing and resolving disputes, the local government has power to mediate to hear and settle the cases

The Alternative Dispute Resolution Act is a national legislation enacted to provide a common and alternative platform for resolution of disputes to the general public. This act provides to establish impartial and independent Administrative Tribunals as well as Alternative Dispute Resolution Centers with an aim to encourage alternative resolution of disputes through arbitration and negotiated settlement through establishment of institutions and procedures and to enforce and recognize the arbitral awards and outcomes of negotiated settlements. The provisions of this act can form a valid basis in development of FGRM to address REDD+ grievances.

Bhutan has a long history of resolving disputes through mechanisms, such as mediation and traditional dispute resolution system known as 'Nangkha Nangdrik' in Bhutanese, that has been an integral part of Bhutanese culture and tradition. In the absence of a formal justice system in the past, mediation was indeed a primary dispute resolution mechanism. The mediation process was based on the principles of compassion and peaceful coexistence, important aspects of the community-oriented Bhutanese society. In cognizance of these facts, Court Annexed Mediation service has recently been introduced in courts as part of a significant judicial reform. With the introduction of these mediation units within the courts, people will have enhanced access to prompt and speedy justice, in addition to strengthening community vitality, preserving relationships between the people and promoting the Gross National Happiness. This mechanism is particularly aimed to provide opportunity for litigants to opt for negotiated settlement with an assistance of neutral in-house judicial mediators during the process of litigation until the final judgment is rendered.

Project based Grievances Redressal Mechanism

Some quasi-formal systems of GRM also have been implemented for donor supported infrastructure projects in the country. One such example, is the GRM implemented for Secondary Towns Urban Development Project (STUDP) BHU-8551 supported by Asian Development Bank under Ministry of Works and Human Settlements (MoWHS). The Project Grievance Redress Mechanism (GRM) followed is a tiered system, starting at the local level. The GRM structure has been agreed with the concerned agencies. The Grievance Redress Committee (GRC) composition have been provided by Ministry of

Works and Huma Settlement (MOWHS) and formalized through a government notification. The GRM was designed to ensure that grievances and complaints regarding land acquisition, compensation and resettlement or other social and environmental issues are addressed in a timely and satisfactory manner. Concerned stakeholders are made aware of their rights and the detailed procedures for filing of grievances. PIUs are made responsible to undertake outreach activities to make people aware of the GRM and are published on the Thromde/ Dzonkhag and MOWHS websites. GRM is also displayed at notice boards in the PIU offices. The dispensation of decision for the grievances is taken at three different levels starting at the local level, Dzonkhag and finally at the Ministry level depending on the nature of grievances. In the process of grievance redress, the complainant has option to move out and go for legal recourse any time.

6.1.5 Effectiveness of Decisions made by the Formal Dispute Resolution Systems

The legislation mandated the department to exercise significant amount of enforcement power to ensure that forests are protected against unwanted human-induced influences including settlement of forest related cases. However, there is an appeal possibility from the lower offices to the higher-level authority and also option for recourse to the judiciary system. During the course of various levels of consultations, stakeholders expressed a need for a balanced grievance redress mechanism, that provides a platform for the concerned parties to have more voice and express their opinions with ease regarding their grievances.

6.2 Review of Informal Grievance Redress Systems

Informal dispute resolution mechanisms and practices, primarily based on negotiations between disputing parties with the involvement of a third party, are common in most of the communities living in Bhutan. Feedback from the consultation process pointed out that only small portion of disputes/cases reach the judicial courts for litigation and majority are resolved by local communities themselves, under leadership of the community head or other leaders. Local people prefer settling cases locally because of several reasons such as solutions are locally available, procedures are easier than formal mechanisms, the system is familiar to most people, the system is simple, can handle oral complaints, mutually beneficial and it delivers immediate and effective justice.

6.2.1 Characteristics of Informal Mechanism to Resolve Grievances

Historically, informal dispute resolution systems were designed by local groups for a specific purpose. Some groups developed such mechanisms to maintain collectivity within the group, while others were more concerned about preservation and transfer of social and cultural practices in the society. Also, groups used dispute resolution as a mechanism to maintain order and promote harmony and peace within the group. Cases that are handled through informal systems include disputes over boundary issues, unfair resource distribution, stealing of forest products, overgrazing in the forest lands, and issues related to the membership of forest users. Such cases are settled by mediators which include the community head, ex-local government members, school teachers, and executive members of the community forest user group committee, women groups, respected social workers and local political leaders. Some cases are also settled in coordination with the local Forest Office.

The informal procedures for case registration, resolution and implementation of decisions are well known to local communities in rural areas but not documented. Usually, a complaint is registered orally to an informal forum (most probably an accepted individual) and this leader invites the disputed

parties and involved stakeholders for a resolution session. In this session, the leader (mediator) informs the participants about the case: the complaint and objective of the session. The leader allows the complainant to present his/her grievance in the meeting. If a complainant is unable to present his/her case then family relatives or a supporter is given an opportunity to present the case. After the presentation of a complainant, the leader seeks views of witnesses and attending community members. Once all views are heard, the leader seeks options for reaching agreement in consultation with the disputants and other participants aware of local traditions, culture and practices. With the help of attending community members and village elders, the leader selects the best option and puts it forward as an agreement which has to be implemented by the disputants. The agreement and corresponding arrangements for its implementation are usually unwritten except in some places where the disputants have more confidence in written agreements.

6.2.2 Effectiveness of Decisions made by the Informal Dispute Resolution System

In general, the stakeholders expressed satisfaction with existing informal grievance redress mechanisms and prefer to use this type of practice in the future. Satisfaction with informal grievance redress mechanisms were based on the following reasons: i) one can express feelings easily, (ii) one can find out the cause of dispute, (iii) one can rely on a familiar authority and procedures, (iv) the system has easy access (v) the system has no cost to the service, (vi) the system accepts oral complaints, (vii) the system delivers fast and effective responses, (viii) the system is transparent so that everyone can observe the decision made by community, (ix) the system settles disputes collaboratively, and (x) the final agreement is practical and follows a win-win approach. Appeals against informal decisions are rare as the decision coming from an informal forum is morally binding.

However, an informal decision is not legally binding. Disputants are free to appeal if they are dissatisfied with the decision made by the informal forum.

6.3 Stakeholders views on Grievance Redress mechanisms

An analysis of various grievance redress mechanisms based on feedback from the stakeholders with focus on awareness and participation, rights, policies and procedure of the REDD+ program will help with the development of a FGRM that is pragmatic and implementable.

In terms of existing formal grievance redress mechanisms, more than half the responses from the consulted district level stakeholders mentioned that conflicts are settled through application of the provisions of the Forest Act and Rules. This is understandable as the regulatory authority – forestry officials are bound by duty to charge and penalize the defaulters in accordance with the gravity of the act committed for the violation of the legal provisions. However, many stakeholders also mention that grievances are settled through courts of law when such punitive actions are not accepted by the concerned disputing parties.

The existing practice of Informal Grievance Redress Systems of settling forestry grievances have also been reported by the respondents as shown in the Figure 8 below. Most participants mentioned that grievances are settled through the Gup's office whereas some indicated that disputes are settled through the village Tshogpa. The data suggests that the local administration at the Geog and Chiwog level plays an important role in grievance redressal. Such problems if solved at the local level can save time and resources for villagers who otherwise would have to spend substantial time and resources to settle their cases.

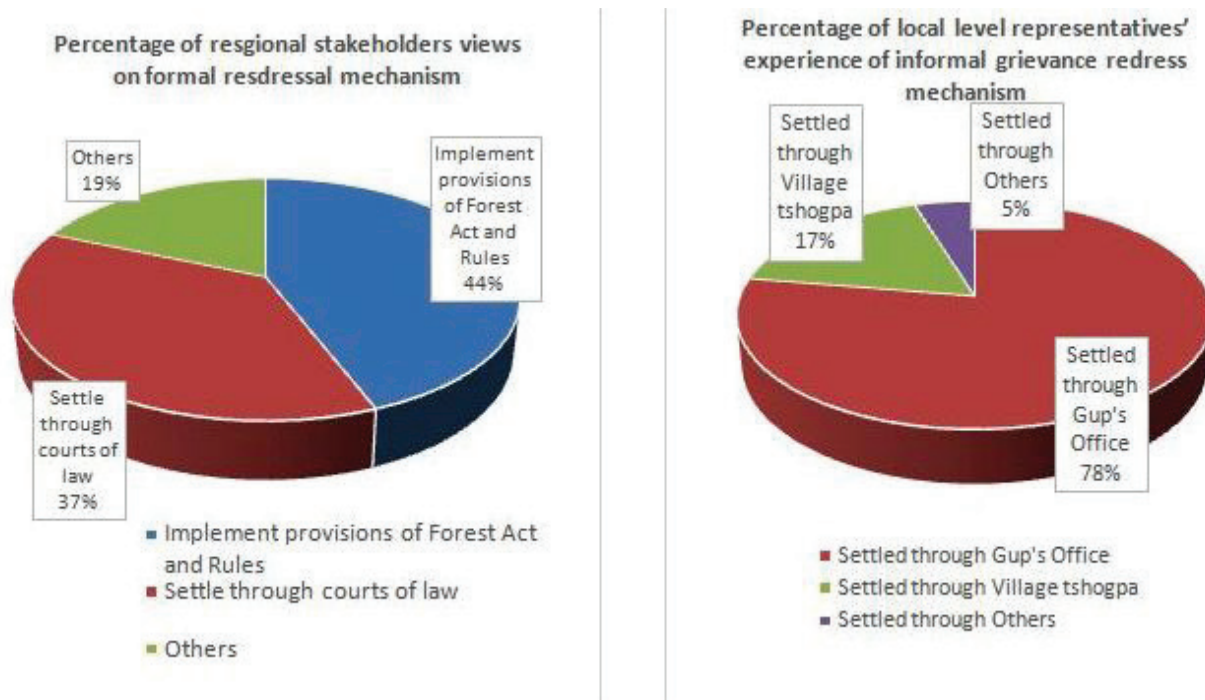


Figure 8: Regional and local stakeholder views on grievance redress mechanisms

6.4 Views on Design and Operation of the FGRM

The frontline stakeholders in REDD+, the forest-dependent communities in particular favor submitting and resolving grievances at the local level. When in conflict, they first access the informal system and submit their grievance to the local community leaders or other recognized community forums. Whenever this system deems unsatisfactory, the stakeholders propose establishing a locally-operating grievance redress system in which all parties are represented. Stakeholders agreed that the most important reason for choosing a collaborative model is because the decision can be made by multiple REDD+ beneficiaries/stakeholders and as a result, it will be implemented properly. However, the FCPF/UNREDD guidelines stipulate that the FGRM should operate independently of all interested parties to guarantee a fair, objective and impartial handling of a case.

According to the consulted stakeholders, the preferred way to receive grievances is in an oral format. In that way, poor (illiterate) communities have a chance to access the FGRM with ease. Other modalities proposed are SMS, written letter, suggestion/complaint box, website and telephone hotline. The multiple channels will ensure that every grievance/conflict is recorded and registered by the REDD+ program authorities at appropriate levels for redressal.

From the social perspective, the following views are pertinent based on the information and data collected from all stakeholders:

- The FGRM designed cannot be a 'one size fits all' type of system especially in terms of the different communities that live in different parts of the country. This, however, does not mean that a separate FGRM should be developed for different communities. Nonetheless, some principles if noted and applied in local cultural setting can ensure socio-economic equity and justice.
- Implementers of FGRM should be better informed and aware of using frameworks for assessing all programs while dealing with grievance redress and be sensitive to vulnerability. Vulnerable groups would encompass populations such as the elderly, poor, women - especially those

heading households, the differently challenged etc.

- Further, the decisions of FGRM should ensure that elite capture at local level does not undermine the principle of social equity in communities. People pushing proposals on behalf of communities need to be screened for their integrity and intentions. Besides, any need for representation in communities has to be inclusive to incorporate the interests of all groups.
- There needs to be a high-level awareness to ensure transparency regarding the procedures so that people know that the actions and outcomes of their decisions are predictable. Hence, sensitization of the FGRM once developed is necessary.

Chapter 7: Proposed Feedback and Grievance Redress Mechanism

The FGRM is designed and developed based on the review of existing and the potential grievances, the existing grievance redressal mechanisms (both formal and non-formal), the legislations supporting it and most importantly on the views from the various stakeholders that were consulted during the nationwide consultative meetings. It also takes into consideration, the requirement of an alternative options for forest users to submit grievances and to ensure a balance between formal and informal system of addressing the grievances.

7.1 Goals and Scope of the FGRM

7.1.1 Goal and Objectives

The goal of the FGRM is to channel grievances into an acceptable, institutionalized mechanism for timely resolving conflict that may arise from implementation of REDD+ activities. The FGRM mechanism should focus on dialogue and problem solving as an intermediate way for stakeholders to discuss problems. FGRMs seek to complement the legal system, not replace it.

Besides the overall goal of dialogue and problem solving, the FGRM has several secondary objectives as follows (Figure 9):

1. The FGRM will support the MoAF/Implementing agencies to have better and improved outcomes on the implementation of REDD+ by resolving REDD+ related disputes in a short period. The FGRM should therefore serve as the implementer's early warning system and capture grievances that might expand into more complex (or even intractable) conflicts.
2. Vulnerable communities can be stimulated to get more voice in REDD+ through the FGRM. The mechanism provides an opportunity to the adapt to their needs, especially those living in remote locations, to submit complaints and argue for a better social situation, which is an important goal of the REDD+ program. More importantly, vulnerable groups will have the opportunity to engage in dialogues with other forest user groups, NGOs, Government officials and other relevant agencies.
3. The FGRM can become the first line of response ("face") of REDD+ for forest users. For example, forest users can acquire information about REDD+ through the FGRM in ways of putting forward a grievance on having limited information about REDD+. In that way, poorer and relatively backward communities have a channel of communication to REDD+.
4. There is an opportunity for the stakeholders to ask questions and the REDD+ Implementation agencies obliged to provide answers in the form of feedback. Forest users then can have more trust in the process and feel more accountable for its outcomes.



Figure 9: Goal and objectives of the FGRM for Bhutan

7.1.2 Scope of the FGRM

The FGRM should address the existing challenges the REDD+ readiness process is currently facing and will potentially face in the future implementation of REDD+ actions. The type of grievances that have to be dealt by the FGRM in Bhutan are related to expected conflicts that might arise from the over-use of forest land and forest resources as well as aspects inherent to the REDD+ program itself. The scope of the FGRM can be functional and spatial as discussed below:

Functional Scope

- i. *REDD+ program*; includes the discrepancies and disputes which may have arisen during the technical design, implementation and evaluation activities that began with REDD+ program scoping and implementation.
- ii. *Rights-based approach to REDD+*; includes grievances and disputes over processes to acquire (user) rights to forest land and resources related to the REDD+ program. Complaints regarding the process of 'Free and Prior Informed Consent' (FPIC) should also be handled by FGRM accordingly to ensure compliance with the international guidelines and standards.
- iii. *Engagement of stakeholders before and during REDD+ implementation*; includes the sharing of REDD+ information, raising of awareness and enabling participation of stakeholders. Grievances related to representation of relevant stakeholders at local, regional and national level should be handled in the FGRM.
- iv. *Benefit sharing for REDD+*; includes the distribution of benefits between the different forest users/protectors and other stakeholders.
- v. *Customary practices*; includes the internal practices of communities and the position of these communities within society and likely impact with the implementation of the REDD+ program.

Spatial/Geographical Scope

The FGRM will have a national focus following the national REDD+ program which covers the entire country². As such interconnectivity of the different landscapes and management regimes with possible mobility of forest users have to be considered. This means, the entire land area under forests cover spread over twenty Dzongkhags will potentially fall within the spatial scope of the FGRM irrespective of whether or not, the grievances are directly connected to implementation of REDD+ actions.

7.2 Principles, Structure and Procedures of FGRM

The FGRM is designed to function at the REDD+ program level with a countrywide coverage, taking into account the REDD+ program's unique operating context such as the size of the management unit, types of services delivered, beneficiaries' needs and the technical, financial and human resource constraints. A well designed FGRM can provide services to cover a wide range of benefits such as curbing corruption, collecting information that can be used to improve operational processes and performance, empowering vulnerable populations and enhancing the program's legitimacy among stakeholders. Thus, an effective FGRM represents a step toward greater accountability and ultimately better project outcomes (World Bank, 2012a).

7.2.1 Principles

For capturing feedback and grievances, the FGRM is based on thirteen principles. These principles are derived from relevant international laws and standards on rights and grievance redress and relevant national contexts (Chapter 3 and 4), social and legal/regulatory and conflict analysis and views from stakeholders nationwide (Chapter 5 and 6). The principles are discussed below.

Principle 1: The FGRM should promote a **personal communication culture**. Communication between the citizens is generally preferred through personal (face to face) contact. The FGRM needs to be culturally sensitive to this customary trait to become functional. Personal interaction also improves ongoing distrust between the parties.

Principle 2: The FGRM should **improve relationships** between forest users and the government agencies. Bhutan's culture in the forestry sector emphasizes cultivating relationships between various groups of users rather than seeking for solutions which may favor one group above the other.

Principle 3: The FGRM should **build on the reality in which local forest users live** to become accessible. For example, exposure and literacy rate of the community members. Most of the local forest users – poor groups, forest dependent communities, elderly peoples are illiterate or less literate and often afraid to visit Government offices and officials. Potential barriers for accessing the FGRM need to be completely removed so these marginalized peoples can freely access the FGRM.

Principle 4: The FGRM should have **multiple channels to submit grievance**. In this way, stake holders access different modalities which will enable local forest users to move beyond the existing tension/conflict if any with the forest offices for example. A multiple channel modality promotes an equitable participation of all stake holders in REDD+, particularly inclusion of poor and marginalized groups.

Principle 5: The FGRM should **build on existing structures of informal and formal dispute resolution to**

2 The scope applies to the entire REDD+ program and associated activities to be implemented

enhance cost effectiveness. By doing this, the mechanism can easily become acceptable as the majority of stakeholders are already familiar with it.

Principle 6: The FGRM should **encourage looping back to a customary (informal) way of dispute resolution** if there is a need for it taking in to consideration the low cost and familiar informal system of dispute resolution.

Principle 7: The FGRM should **encourage taking decisions with multiple stakeholders in an independent manner:** NGOs, private sector, academia, Government and communities/forest users. A multi-party FGRM is necessary to overcome power disparities, bring about different views on the dispute and promote cooperation in taking decisions about grievance.

Principle 8: The FGRM should **build capacity of REDD+ participants**, such as information about obligations, policies and procedures. The FGRM should include a strong component for strengthening awareness of local stakeholders so they can effectively engage in REDD+ through deliberations and dialogues. The FGRM will have to promote information sharing at the local level in order to prevent unnecessary grievances to be submitted to the FGRM. Special considerations such as training, awareness will be organized for the targeted vulnerable groups.

Principle 9: The FGRM **should be flexible in design** so that it can facilitate the REDD+ Secretariat and various stakeholders in a mutual learning process.

Principle 10: The FGRM **should have simple and friendly procedures** which are understandable for each forest user. In this way, the FGRM will function as a transparent mechanism for handling complaints.

Principle 11: The FGRM should **promote fact-finding research to assess the context and create space among (local) experts to discuss the dispute and propose a resolution.** This will minimize the influences of any stakeholders or actors outside the REDD+ program on the decision-making process. This is particularly important given the difference in level of expertise and organization of forest users and its representatives.

Principle 12: The FGRM **should work independently of all parties.** Each grievance should be impartially judged based on fair and objective criteria of which each stakeholder is aware of.

Principle 13: The FGRM **should include specialists in REDD+ with experience in conflict resolution.** These specialists need to follow conflict resolution tools and techniques so they can mediate conflicts in forestry. At the minimum, they need to have expertise on forestry, conflict resolution and international and national developments in the context of REDD+ in order to mediate for workable solutions at the local level.

7.2.2 Structure

The FGRM is designed as a quasi-judicial body with defined procedures and powers and is obliged to objectively determine facts and draw conclusions from them to provide the basis of/for an official action. The outcome of the FGRM is a contractual agreement in which parties will have binding obligations under Bhutanese law. Stakeholders have three options (Figure 10) to address conflicts in REDD+, and option 2 is the preferred mechanism while stakeholders willing to opt other options will also be facilitated.

Option 1: As informed and expressed by a wide majority of stakeholders consulted, stakeholders particularly at local level prefer submitting grievance to the informal dispute resolution mechanism such as local leaders, CFMG, and local administration within their locality. The function of informal

dispute resolution is to solve value³ and interest-based conflict based on traditional/customary systems, with the ultimate goal of finding a win-win resolution. During this type of resolution process, disputants are protected against face loss and are encouraged to maintain a workable relationship for the future.

Option 2: When an informal dispute resolution is not adequate to deliver a resolution, disputants may submit their REDD+ related grievance to the Feedback and Grievance Redress Mechanism. The FGRM envisages seeking a win-win solution by using a set of conflict tools for mapping out the interests, improving communication between parties and finding creative ways to mutually discover and seek solutions. The FGRM will build in a modality to bring disputants back into informal dispute resolution mechanisms, whenever appropriate.

Option 3: If the above options are ineffective in transforming a particular conflict, the disputants are free to submit the grievance to the formal system. The formal system is rights-based and applies the law to decide who wins and who loses.

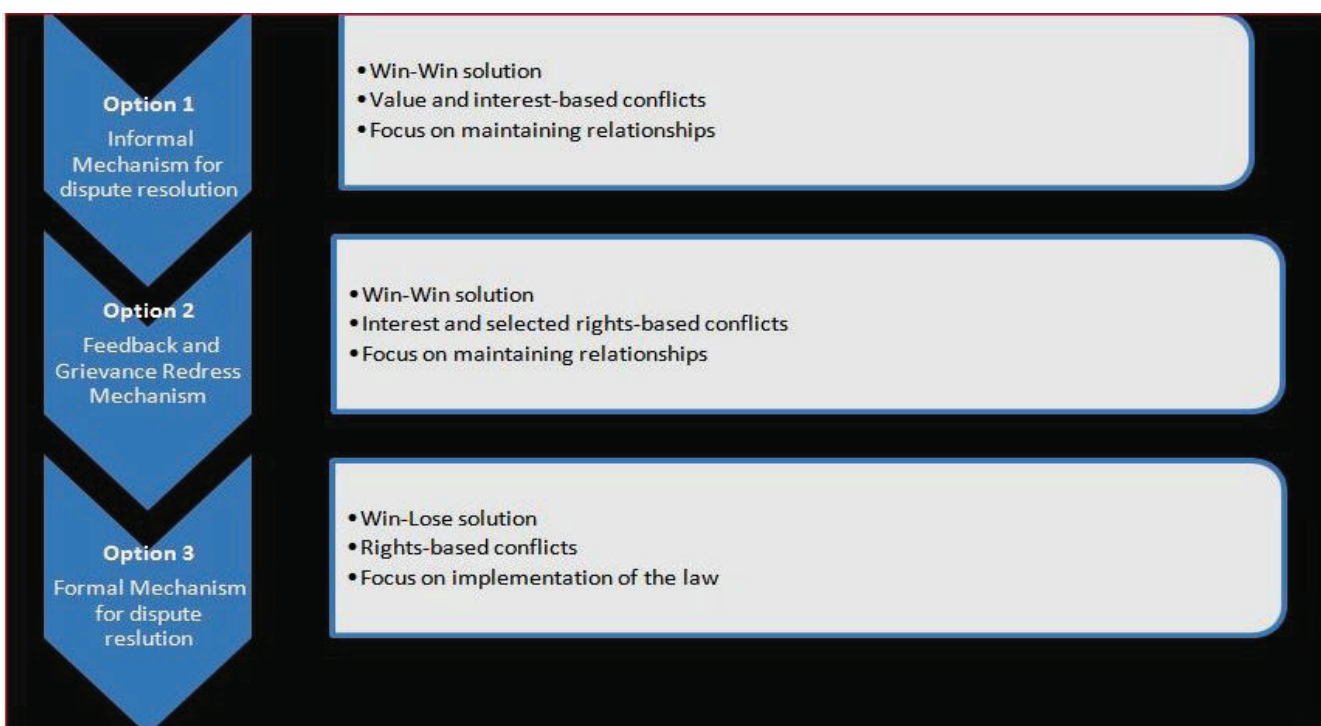


Figure 10: Various options for grievance redress in the REDD+ Program

7.2.3 Implementation arrangement of REDD+ FGRM

As suggested by the stakeholders during the nationwide consultations, the Department of Forests and Park Services (DoFPS), MoAF will be the responsible agency for managing the grievances coming from the REDD+ program implementation. Following the principles as stated in section 7.2.1, the proposed FGRM will be built in to the existing structure of the DoFPS and will operate at the national, regional and local levels (Figure 11 below). However, considering the nature of grievances expected that entails fair and impartial process and multi-disciplinary inputs, other governmental and non-governmental agencies will be involved at various levels⁴.

3 Value conflicts are disputes over differences in long-held beliefs and world views e.g. customary practices

4 Institutional arrangement for implementing FGRM designed with inputs from stakeholders

The apex body of the implementation arrangement will be a REDD+ Advisory Authority⁵ or any other entity constituted at the national level. This body will provide policy and strategic directions in relation to grievance redressal across various relevant agencies at ministerial level.

In discharging the executive functions at the national level, the DoFPS assigns a FGRM Focal Point (FP) who will have overall responsibility for the FGRM administration, monitoring and evaluation. The designated FP can be from the REDD+ Secretariat and will be guided by a committee at the department level (it could be TAC or any other existing relevant committee) constituted for that purpose. The FP will be responsible for central registration of all grievances coming from field offices and monitoring and evaluating the functionality of the FGRM.

At the regional level, the Chief Forestry Officer (CFO) will act as the central point for registering grievances. The CFO will receive the complaints from forest users directly and through the ROs and assigns the cases to the designated forest officers who will serve as Case officers in the FGRM. The CFOs are housed in the divisional forest offices and parks covering the entire twenty districts. These focal officers will help the CFO in the grievance handling. The division forest office will be specifically responsible for coordinating three important tasks for grievance handling: registration, fact-finding (research) and decision-making (as appropriate). CFO can assign a forest officer to initiate a fact-finding mission with other relevant experts after forming an independent assessment team. These experts are carefully selected from different entities, such as communities, interest groups, NGOs, and private sector. The primary purpose of the team is to make an independent decision. After the decision has been made by the team, the CFO will ensure the decision is implemented within the laws and regulations governing forestry sector in Bhutan.

Further down at the Geog level, the Range Officer will be responsible for receiving and registration of grievances and forwarding to CFO or addressing the same as appropriate. The Range Office will discharge a critical role in implementing decisions and agreements of FGRM. The lowest level office for handling disputes under FGRM will be Forest Beat office that provides services at the Chiwog level. This office will attend to grievances at village and community levels. Most of the complaints and concerns that arise at this level are expected to be solved through informal mechanisms.

5 This high level Entity should be suitably constituted with necessary mandates

INSTITUTIONAL ARRANGEMENT FOR IMPLEMENTATION OF REDD+ FGRM

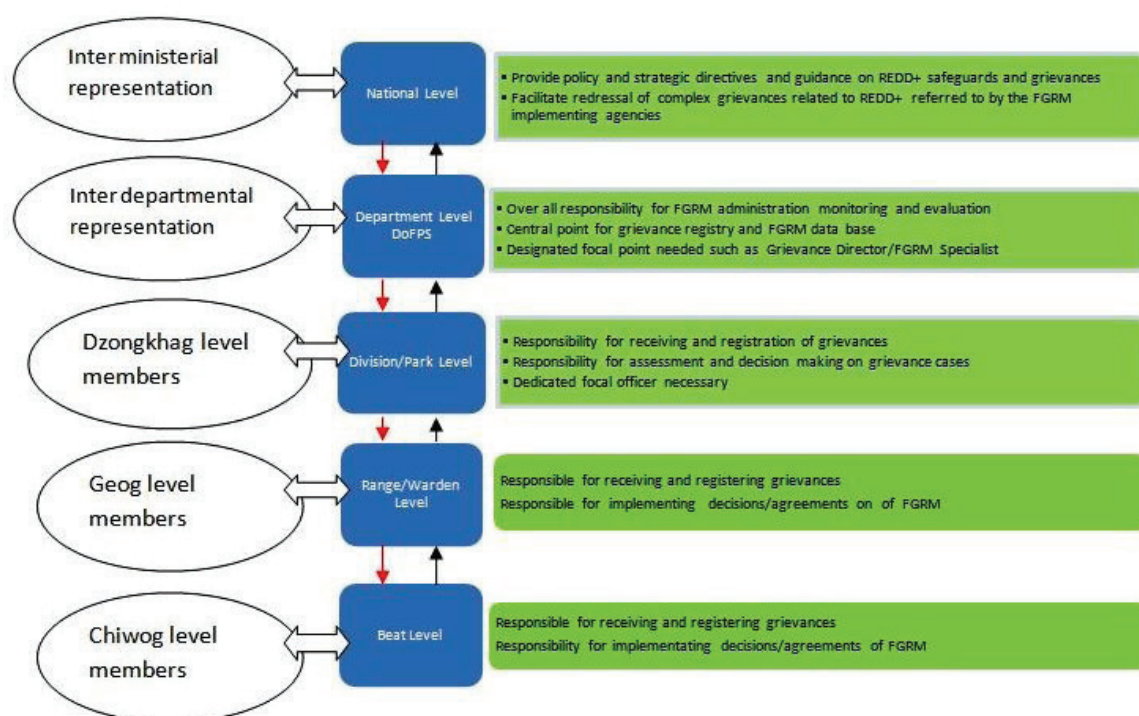


Figure 11: Implementation arrangement for FGRM

7.2.4 Procedures

The total turn-around time (TAT) for resolving the grievances is estimated to be 30 working days for all levels. It includes the time the grievance is received until a resolution on the dispute is found (or not). The grievance, once received, follows a systematic process consisting of six steps as shown in Figure 12. The process is inclusive and participatory with involvement of multiple parties early on (from step 2 onward). This is done to promote discussions among different stakeholders to arrive at a workable resolution to the grievance submitted.

Logical steps in grievance resolution process

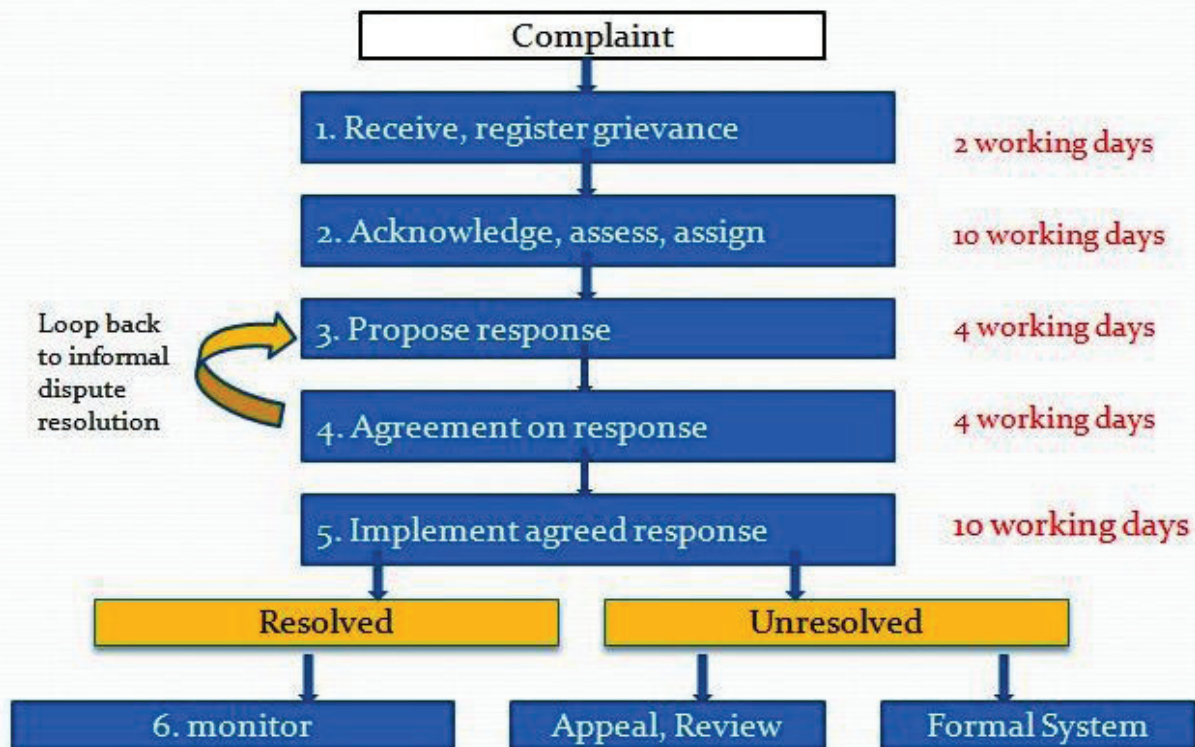


Figure 12: Process of grievance handling for REDD+ (Adapted from FCPF/UN REDD guidance note for REDD+ countries)

The six steps in the process are: i) Receive and Register, ii) Acknowledge, Assess and Assign, iii) Process Response, iv) Agreement on Response, v) Implement agreed Response, and vi) Monitor. Each of these steps are further described below.

Step 1 Receive and register Grievance

Each grievance will be **registered** with the following information: i) name of the complainant, ii) date of the grievance, iii) nature of the grievance and location, iv) number of persons involved and v) potential solutions. A specific form dedicated for submission of the grievances can be developed (if required).

Receiving and registering feedback and grievance is a procedure where forest users/stakeholders, can submit grievances to the RO, CFO and National FP through written letter, email, phone call, SMS and oral complaints.

Special provision in the FGRM will also enable the Grievance office to receive and register grievances from anonymous complainants. Such grievances will be thoroughly scrutinized during the screening for authenticity before initiating further actions for redressal. This provision is expected to help the weaker or the vulnerable section of the society to register the grievances without the fear of repercussions.

The grievances received will be registered on all working days during office hours. Once received, grievance handling process is set on motion. The CFO or RO contacts the complainant by phone to confirm that the grievance has been officially registered. The complainant is also informed about the process of grievance handling and the CFO conveys the following information: i) acknowledge the receipt of the grievance, ii) overview of the steps in the grievance handling process, iii) the time frame by which a next response is expected from the grievance unit, iv) the registration number of the case, v) the contact person for the grievance handling in case there is any more information needed. The total time to complete the task under step one takes 2 working days.

Services of Support Groups

An important consideration for local communities to use The FGRM is availability of a support system. During consultations, it is learnt that local users often have difficulty understanding official formats and cannot participate in district level initiatives due to logistical constraints like language and transportation. Modest support in this regard can make a significant difference in terms of participation of such groups.

Apart from the CFO/RO and other local government agencies, it is expected that advisory NGOs, interest groups and community leaders may act as part of the support system since they are already in close contact with local forest dependent communities. These support groups consist of individuals/groups who can facilitate in preparing and submitting grievances, such as in: i) writing the complaint, ii) translating the grievance into local language/dialect and iii) helping local communities bringing the grievance for registration to the FGRM focal points.

The support groups have another important task. It is evident from stakeholders' inputs that many grievances are expressed through lack of information. The support groups can help providing information to the local level stakeholders and in this way avoid unnecessary grievances to be submitted.

Step 2 Research (Acknowledge, Assess and Assign)

Screening

Grievance screening and execution should be separated tasks because there will be judgment made on eligibility. For example, in a case where the local RO is party in the dispute, there can be some bias in judging the case for eligibility. Therefore, it is appropriate that the CFO becomes the administrative organ and the RO the executive organ for grievance, so conflict of interest be prevented. Thus, the CFO will hold the central registrar position and screen each grievance received to see if it is eligible for the REDD+FGRM. The grievance will be screened for eligibility against several criteria:

- i) The grievance is a result of implementation of REDD+ activities.
- ii) The complainant is a participant in the REDD+ program
- iii) The Divisional Forest Office (DFO) has authority and capability to handle grievances related to potential impacts coming from the REDD+ program implementation. The scope and conflicts that are eligible for FGRM handling are shown in Annexure 6. In many cases, eligibility is not arbitrary. It is therefore imperative for the forest officer to be knowledgeable about REDD+ for making a sound judgment.
- iv) The complaint can be handled by the grievance mechanism. The FGRM can handle simple conflicts which are resulting because of REDD+ implementation with focus on reconciling the interests of the parties (wants, needs and concerns). Cases of criminal nature or violation of laws and regulations will be ineligible to be registered.

Independent Assessment

The DFO case officer gathers information for identifying key issues that help determine whether and how the complaint might be resolved. The Case officer appoints an expert-based independent assessment team of which he/she is the leader. Experts are carefully selected from different entities, such as communities, interest groups, NGOs, and private sector based on a specific requirement. The number of experts appointed depends on the nature of case and there are two options.

Option 1: The government is not a party to the dispute. In this case, the DFO case officer appoints two persons who are independent experts on the issue. Decisions are made by the Case officer and two other experts unanimously or through majority consensus.

Option 2: The government is party to the dispute. For example, in a boundary dispute in a national park with local communities, the DFO case officer appoints three persons who are independent experts on the issue. These three experts take a decision on the case unanimously or by majority consensus.

During investigation, the team contacts the complainant and other relevant parties to gain first-hand information to better understand the problem. The team gathers views of the complainant and other main parties involved by filling in the matrix in Table 2. The assessment team can also discuss with the complainant which process he/she finds suitable for resolving the dispute. Once all facts are collected and a resolution for the case is decided (outcome), the team dissolves.

When a DFO case officer is unsure about a specific resolution chosen by the team, he/she consults the CFO. Then, the CFO can call the team for a second term, or appoint new members and form a new assessment team, in case there are special circumstances, such as social, economic or other sensitivities which were not taken into account by the earlier team. This two-tier system allows for checks and balances within the grievance process so that a resolution is always developed in multi-party team and not solely dependent on the unilateral decision of an officer. The total screening and assessment process takes about 10 working days.

Table2: Information gathering tool during the assessment of the grievance

Stake-Holders	Current complaint	Position Issues	Interest	Legal mandate	Importance of issues	Power	Interaction	Proposed resolution
Who are The interested Parties?	What do they complain about?	What do they want?	Why do They want it?	What mandate do they have to get what they want?	What are the central issues? What are other issues?	Type of relative power	How do they interact with others?	Based on possibilities outlined in Table 4.

Step 3 Process (Propose Response)

The DFO case officer sets forth a resolution approach based on the outcome of the assessments. A resolution approach is the proposal for a process in which the complainant and other affected party come together, mutually discuss the proposed resolution from the team and finalize an acceptable process for both parties. One of the options stated below can be adopted.

Option 1: Self-propose a Resolution

When complaints are simple, such as cases with clear solutions or addressing comments and queries, the case officer will self-propose a resolution and convey this to the complainant and other affected party. An example is providing more information on the policies and procedures of the REDD+ program.

Option 2: Informal Dispute Resolution

The case officer will rely on indicators to assess if informal dispute resolution system can be applicable to the dispute such as: i) parties prefer maintaining the relationship and have close community relations ii) level of trust parties have in informal dispute resolution iii) acceptance of the outcome iv) success rate v) earlier use of informal system on the current case. In case informal resolution is a feasible option, the case officer skips **Step 4 – Formulate and Deliver a Response** - of the grievance procedure. When this option is chosen cases are settled

locally. The local forest user groups and their executive committee members available locally are encouraged to settle minor cases related to REDD+ program following the local mediation practices.

Table 3: Resolution Approaches (Process) to Various Types of Grievance

Decision-Making	Grievance Type	Example	Resolution Approach	↑Increased complexity of resolution..... ↓
Case officer Proposes Resolution	Comments, queries	Complaint about strict timelines	Grievance unit proposes resolution e.g. apology, information sharing	
	Complaints with a clear Solution	Encroachment	Grievance unit proposes Resolution	
Case officer And Stakeholders Propose Resolution	Conflicts between two local stakeholders over one issue	Dispute over forest use in one area between two communities	Informal dispute resolution, problem Solving	
	Complex conflicts between two local stakeholders over one issue with distrust between the parties	Benefit sharing	Problem solving	
	Conflicts are about facts or data Conflicts have occurred in the past and have not been resolved	Impact coming from water shortage Boundary disputes	External party problem Solving External party problem solving	

Option 3: Self-Problem Solving

Whenever informal dispute resolution is not feasible, the preferable method to use is problem solving. The case officer will act as the mediator to positively influence the interaction process but avoids interfering with the decision-making ability of parties. The Problem Solving Mediation Model (Moore, 2003) is a structured approach that is proposed to deliver such task results (Annex4). The DFO case officers assist parties to solve what potentially could be a relationship issue or a dispute over the fairness of procedures and the parties frame solution for problems that might address their collective interests, evaluate options and select solution/package of solutions.

Option 4: External-Party Problem Solving

In case there are disputes with problems that have been reoccurring or there are discrepancies about facts or data, the case officer will decide for intervention of an external mediator. An external party will help the disputing parties to sort out difficult issues, improve communication and possibly reach agreement. It opens doors to parties to collaboratively come up with their own solutions, not specifically for the purpose of “profit”, but based on a renewed relationship. Generally, mediation is a durable process because it gets parties to cooperate and usually penetrates deeper to address underlying interest of parties. The most important part is that mediation does not end up in win-lose situations, where one party wins and the other loses. Potential mediators are trained persons and can be from: communities, CFMGs, NGOs, CSOs and local resource user groups and committees. Choosing a resolution approach takes 4 working days.

Step 4 Response (Agreement on Response)

Under this step, the DFO case officer will formulate a written response on the decision and resolution process. A response will generally consist of: i) the complaint and issues that are taken into consideration, ii) the view of each party about the issues, iii) the rationale for the decision and iv) the decision and approach to resolution.

The response will be communicated by the case officer in a face to face meeting with the complainant and any other involved party, preferably at site. The case officer explains the proposed resolution to the parties in a step-by-step process. In case the complainant is not happy with the resolution approach, he/she can appeal or proceed to the next level in the FGRM or opt to take other judicial recourse in the court of law. If the complainant is satisfied with the resolution approach, he/she will receive instructions from the case officer on how to proceed further. Formulating and delivering a response takes 4 working days.

Step 5 Implement (Implement agreed Response)

The outcome of a successful problem solving will be a settlement agreement: a contractual agreement between two parties valid under the Bhutanese law. This contract will be developed in similar manner as a performance-based contractual agreement necessary between forest users and the DoFPS. The disputants will sign this agreement and are obliged to comply with its terms and conditions.

If no acceptable solution is found for the dispute, the DFO case officer makes an outcome report of the problem-solving session. The report is conveyed to the complainant and all other parties. The complainant can then choose to submit an appeal. Appeals are submitted to the REDD+ secretariat/ Advisory committee which consists of a broad range of stakeholders who are expected to deliver a balanced and sustainable decision. Decision-making in the REDD+ Advisory authority/committee takes place on consensus. Once completed, the CFO is informed of the decision taken and can proceed to the next step. The process (Step 5) will take about 10 working days.

Step 6 Monitor (Track agreement compliance and Inform)

The DFO case officer will be responsible for implementing settlement agreements. The settlement agreement will have defined, clear and measurable milestones. The case officer will work closely with the CFO in this step.

The CFO can also ask other Government entities to help in the monitoring of an agreement. For example, in a case of women issues, the CFO can request the women's organization to help. Other entities that can play a role in monitoring of the agreement are: District and geog administration, municipality and other relevant agencies. The process of track and inform will depend on the duration and condition of the settlement agreement.

7.3 Potential Roles and Responsibilities for Stakeholders in the FGRM

Besides the CFO who plays a central role in handling grievances alongside the case officer, there will be roles assigned to different groups of stakeholders in each procedural step. The purpose of having stakeholders involved as much as possible is to capture the interests of the stakeholders and adhere to safeguards and international guidelines. The following stakeholders are involved (Figure 13):

7.3.1 Support Groups

In Step 1: Receive and registration of Grievances – forest user groups, CFMG, District and Geog level committees, Municipality, NGOs, CSOs, Women organizations and other interest groups can help complainants with i) providing required information so they drop the complaint in case of information related grievances, ii) referring the case to informal dispute resolution, iii) ensuring cultural appropriateness in grievance registration (Cancun safeguards 2c), iv) translation of the grievance, iv) logistical support in submitting the grievance (transportation).

7.3.2 Independent Expert/External Mediator

In Step 2: Screen and Assess – Experts with required knowledge will be engaged for conducting an independent assessment where necessary depending on the nature of the grievances.

In Step 5: Implement – external mediators may be involved with background in conflict resolution or related topics. All experts are required to have the following skills and experience:

- At least 3 years in one of the tasks and topics detailed above, or closely related areas, preferably with experience in policy advice, strategy and program development with a strong focus on integrating economic development and/or poverty alleviation. An excellent understanding of the requirements of the UNFCCC and REDD+ is required.
- The candidate also needs a thorough understanding of the subject in the national context, if possible based on working experience in the field.
- For conflict resolution specialists/mediators, a training course on conflict resolution/arbitration is required which should cover human rights, Bhutan laws and mediation skills.
- Excellent organizational and communication skills are also key to this position.
- Sufficient knowledge about international and national developments on REDD+

7.3.3 Other District-level Government Offices

In Step 6: Monitor – the DFO located in the area where the grievance is submitted will play a major role in monitoring of the settlement agreement. The CFO can seek help from other offices such as the District Administration, Women association office in case women are involved, the Municipality, NGOs, Private sector association and other interest groups.

Figure 13 indicates the involvement of stakeholders from interest groups, NGOs, academia, private sector and Government in steps 2, 5, 6. The remaining steps - 1, 3, 4 - are administrative or technical steps guided by the FP.

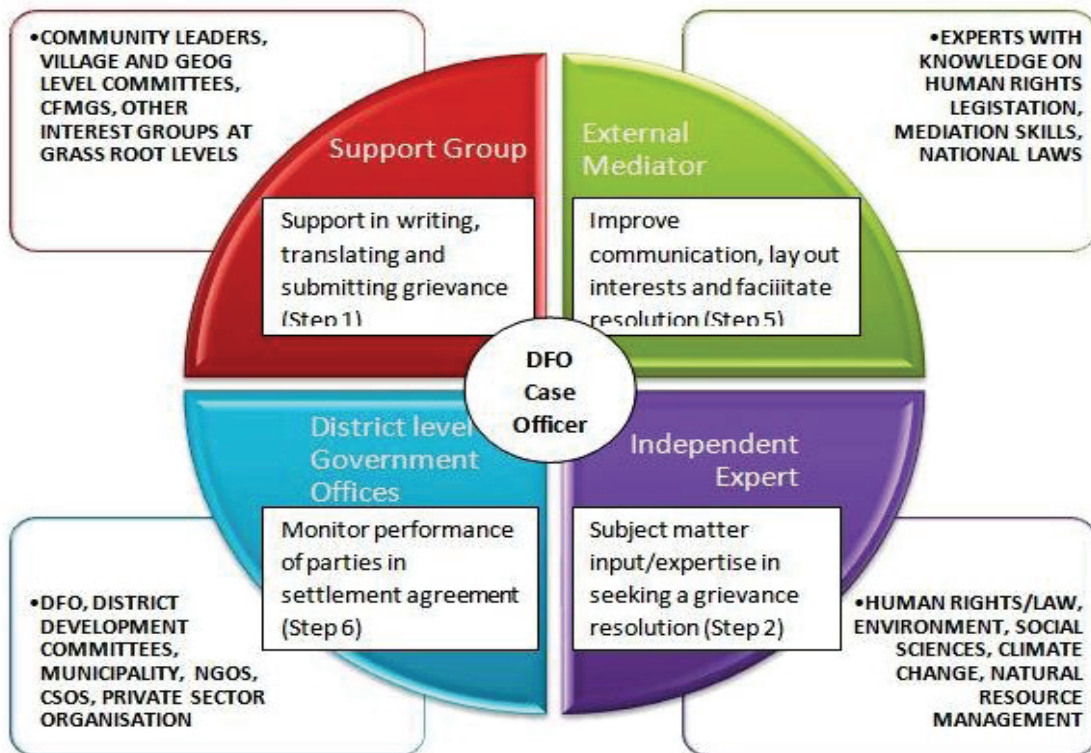


Figure : Role of different stakeholders in grievance redress process for REDD+

Figure 13: Roles of different Stakeholders in REDD+ FGRM

Chapter 8: Implementation of the Feedback and Grievance Redress Mechanism

8.1 Operationalization of the FGRM

The operationalization of the FGRM can be based on two options:

Option 1: If there are available resources and if possible, the FGRM can be implemented at the national level covering all 20 Dzongkhags.

Option 2: Taking into consideration the requirement for strengthening the existing staff, capacity building and infrastructure (both software and hardware for FGRM) at the DoFPS, the second option of operationalizing the FGRM gradually in phase wise manner is proposed.

The operationalization will consist of three phases. In phase one, the focus will be on establishing a strong team for registration and handling of grievances in the representative districts (pilot districts) in the regions. After the pilot districts are operational, the FGRM will expand nationwide in the second phase. In the last phase, a digital registration modality will become functional. A more detailed description of each phase is given below.

Phase 1: Establishment of District FGRM (6 months)

The first phase covers short term operationalization of the FGRM for REDD+ implementation in the selected districts. The FGRM will start functioning in three Divisional Offices in i) Eastern region, ii) Central region and iii) Western region. The CFO in each of the division appoints one Case officer for grievance handling. The CFO can decide to appoint additional case officer into DFO offices where a high number of grievances are expected.

For this pilot phase, the DoFPS starts with appointing a FGRM National Focal Point. After appointment, the National Focal Point will work to accomplish tasks in a period of 6 months such as:

- i) Develop procedures (handbook)⁶ for functioning of the FGRM as part of the DoFPS mandate. The handbook will contain standard operational procedures (SOP) for handling the grievances as grievance has to be dealt in a transparent process.
- ii) Information and dissemination and communication strategy
- iii) Develop Terms of Reference (TOR) for the work that needs to be performed by the CFO and the Case officer. The specific TORs for these functions will be written based on the requirements as specified in section 8.2.2. The National FP works with the DoFPS/MoAF to adjust job descriptions of the CFO and Case officer for inclusion of FGRM tasks.
- iii) Train the CFO and staff of the three pilot offices in policies and procedures of grievances redress, relevant laws and regulations in the forestry sector related to grievance, and conflict resolution theory and tools.
- iv) Establish telephone infrastructure and SMS registration in the DFO office.
- v) Expand grievance registration locations. The CFO will work together with local forest officers for installation of the suggestion/complaint box. The DFO case officer also can initiate collaboration with the ROs, geog level committees, CFMGs and NGOs to position a suggestion/complaint box at the CFO/RO offices and develop procedures for its use.

6 The hand book will serve as operation manual /field guide for FGRM implementation

Phase 2: Establishment of a nationwide FGRM (6 months)

In the second phase, the FGRM will be up scaled to the entire country covering the remaining 17 districts.

The tasks under this phase will include:

- i. Train new CFO and designated case officers in procedures and technical aspects of grievance redress. They will be trained in the policies and procedures of grievances redress, relevant laws and regulations in the forestry sector related to grievance and conflict resolution theory and tools.
- ii. Each CFO appoints one case officer as the focal point to deal grievance handling.
- iii. Establish telephone infrastructure and SMS and suggestion/complaint registration at the CFO offices.
- iv. Raise local awareness on FGRM. The local DFO case officer has to raise awareness among other forest staff, local communities and private forest owners about the function and procedures of the FGRM. Special considerations for the targeted vulnerable groups.
- v. Raise national awareness about the FGRM to other REDD structures, such as senior officials in DoFPS, MoAF and other relevant agencies and members of Task Force and Committees.

All tasks will take six months to complete. After phase two is completed, the FGRM is active nationally and enter into actual operational mode.

Phase 3: Establishment of digital modality (3 months)

In the last three months of operationalization, the emphasis is set on creating an opportunity for stakeholders to submit grievances by email. The tasks under this phase include:

- i) Setting up a specific email address for grievance handling. A special address should be created on the mail server of the MoAF. Stakeholders can then submit queries, comments and complaints by email.
- ii) This will be a task concurrently undertaken when up scaling of FGRM is ongoing nationwide. It is expected to take 3 months to complete. All grievance receiving and registration modalities will then be operational by end of one year and the FGRM set up is fully accomplished.
- iii) Setting up a database for the grievance information management system. This system can be part of the existing information system of the Department.

The Annexure 7 presents a step by step activity plan for operationalization of the FGRM. The DoFPS/ REDD+ Secretariat can use this planning calendar to carefully plan each step for the initiation (set-up) and actual operations. The table sums up each task/activity and elaborated with indication of the responsible entity and expected time frame to accomplish the tasks.

8.2 Institutional mainstreaming of FGRM

8.2.1 Legal Provisions for FGRM Institutionalization

For REDD+ institutionalization, it is important to understand how the Forest Act, Rules and other legislations recognize institutions for forest management. In the Bhutanese context, Forests are defined as State and Private forests under the relevant legislations. Forests managed under various regimes such as Forest Management Unit, Protected Areas, Biological Corridors, Community Forest, Lease

Forest, Institutional and Industrial Forests fall within the scope of state reserved forest land and Private Forests belong to the private land owners. These regimes as recognized by the Forest Act and Rules, the management and regulation fall within the mandates of Department of Forests and Park Services.

REDD+ related grievances will come under the domain of FNCA but will also transcend to other land use affecting forests. REDD+ can therefore be considered as a multi-dimensional forest concept and needs to be recognized as such in the law and jurisdiction of the REDD+ program implementing institutions. REDD+ and carbon emission trade along with other benefits fall under the concept of ‘Polluter pay Principle’ and also qualifies as Payments for Environmental Services (PES) schemes and recognize the economic value of forests. Therefore, a clear legislative definition of REDD+ and carbon emission is necessary. Future amendments to the Forest Act and Rules to address this concern is needed. The recognition of rights related to forest goods and services such as that of carbon and other ecosystem services for REDD+ related forest management can serve as a basis for effective legislative reforms to regulate the rights and corresponding grievances associated with REDD+ and application of FGRM. To facilitate FGRM to render its intended functions, it must be suitably incorporated in the Acts and Rules providing a legal basis for its operation. Some recommendations for legal amendment are tabulated below (Table4):

Table 4: Legal amendment needs for mainstreaming the FGRM

REDD+ coordinating Body	Current jurisdiction For FGRM	Gaps and deficiencies in jurisdiction for Addressing grievance in REDD+	Conflict in jurisdiction that may influence REDD+ Implementation	Implementation problems that may impact REDD+ Implementation	Suggestions for streamlining REDD+ implementation
Department of Forests and Park Services, REDD+ Secretariat	No Legislative Power	Amendments to laws are needed to incorporate provisions for FGRM structure and functions, definitions of REDD+, PES, Carbon and other terms associated with REDD+ program	Conflicts and inconsistencies between Forest Act and rules with other national legislations related to forests and forest land that create functional difficulties among various agencies working in forest linked/related activities	REDD+ Secretariat at present functions as a program coordination unit with no defined legislative power	Legislative amendments are necessary

8.2.2 Technical and Human Capacity strengthening for FGRM

With the FGRM integrated with the institutional structure of REDD+ and the Department of Forests and Park Services (DoFPS), the department will have the overall responsibility for implementation of the mechanism to achieve desired results. Mainstreaming the FGRM in the department will start by assessing what technical and human capacity, the FGRM office needs and compare this with what is presently existing and functional. Important aspect to account is that the REDD+ office will rely on strengthened DFO infrastructure in the field. For the effective implementation of the FGRM, staff and technical requirements are listed against each activity in Table 5.

Technical capacity

The REDD+ Secretariat, WMD at the moment does not have any dedicated infrastructure to maintain REDD+ program information and data. The common hardware infrastructure consists of stand-alone units with a common mail server to regulate email traffic with other agencies and stakeholders. A

network of connected computers does not exist, nor is there a server for storage of operational data.

For FGRM institutionalization, three computer modalities are required. First, the Focal Point (FP) needs to have a computer and printer available. Second, the FP should have a designated email address for stakeholders to submit their grievances. An additional email address can be added to the current mail server to meet this requirement. Third, the FP needs to have a modality for data storage e.g. a server. Pictures, audio files and text files for case registration and research should be stored in this secured place.

Table 5: Technical requirement and human resource needs for mainstreaming the FGRM

Process	Activity	Staff requirement	Technical requirement
1. Registration	Empty suggestion/complaint box at local DFO locations	DFO Case Officer, RO and other geog/village committees	Fax
	NGOs, government officials, community leaders help in translation, writing and transportation of letters		
	Grievance log into to central register	DFO Case Officer/National FGRM Focal Point	Computer, printer and accessories
	Answer and acknowledgement by phone	DFO Case Officer	
	Receive telephone/SMS, email and written letters	National FGRM Focal Point, DFO/RO	Designated email address/phone/SMS/ internet
2. Research	Eligibility screening	DFO Case Officer or CFO	
	Assessment	DFO Case officer, External experts (independent team)	Transportation, field support and other logistics
3. Process	Decision on resolution Approach	DFO Case officer	
4. Response	Compile response: process	DFO Case officer	
	Conduct face to face meeting and agree	DFO Case officer	Transportation DFO Office
5. Implement	Conduct face to face meeting with involved parties (problem solving)	DFO Case officer, External mediator	Transportation DFO Office
6. Monitor	Tracking of Agreement Compliance	DFO Case Officer/other district level Officer	Transportation
	Informing parties	National FGRM Focal Point DFO Case Officer/other district level Officer	Transportation
	Manage archive	National FGRM Focal Point	Storage modality

Human capacity

The majority of experts working in the MoAF and REDD+ Secretariat are specialized in forestry. The REDD+ Secretariat lacks a specific expert on social science, essential for managing an effective FGRM. Currently tasks related to social science (participation, engagement) are performed by technical staffs. The expertise gap can be addressed by providing appropriate trainings to pool of forestry staff who will be responsible for implementation of the FGRM. For the operationalization of the FGRM, the requirement of different level of capabilities and their responsibilities will have to be ensured (Table 6).

Table 6: Tasks and qualifications of The FGRM staff

	National Focal Point	Chief Forestry Officer	DFO Case Officer	Range Officer
Mandated Task in FGRM	Guide and supervise grievance staff	Ensures the management and setting of grievances within the his/her jurisdiction	Coordinate with complainants and other relevant stakeholders on grievance	Facilitate grievance redress process at community and geog levels
	Supervise administrative and general operations	Receive and address incoming and outgoing grievances complaints	Review policy and procedure for grievance handling	Coordinate with complainants and other relevant stakeholders to monitor compliance of grievance resolution
	Develop policy and procedures for grievance handling	Transfer cases to DFO Case Officers	Facilitate team of experts in grievance handling	Forward grievance cases to CFO
	Oversee grievance handling process and monitoring	Administration of cases to be delivered to National FGRM Focal Point	Organize and support in grievance meetings	Report on problem solving and mediation meetings
	Select external experts for grievance handling	Act as a nodal point of contact for complainants and other stakeholders	Prepare, execute and report on problem solving	Organize and support in grievance meetings within the jurisdiction
			and mediation meetings	
	Work with the REDD+ Secretariat/ Working Group in appeal cases	Raise awareness about FGRM	Act as focal officer for complainants/parties on specific grievance cases	Raise awareness about FGRM
	Monitor, evaluate and adapt FGRM process as necessary	Maintain record of cases and submission of annual report to National FGRM	Raise awareness about FGRM	Maintain record of cases and submission of annual report to CFO

	Promote advocacy and awareness about REDD+ and FGRM		Maintain record of cases and submission of annual report to CFO	
	Act as a point of contact for REDD structures, media and Others			
	Design, develop and maintain archive			
Desired Qualification	Minimum Post graduate or master level degree in forestry or related fields	Undergraduate degree in natural resource management/ forestry or related fields	Undergraduate level degree in forestry and related fields	Diploma/certificate course in forestry and related fields
	Proficiency in English, Dzongkha and other local dialects	Fluent in Dzongkha, English and other widely spoken language/dialects	Fluent in Dzongkha, English and widely other spoken language/dialects	Fluent in Dzongkha and other widely spoken local language and dialects
	Certificate training in Conflict management and mediation if not covered as part of academic study	Excellent verbal and written communication skills	Certificate training in mediation skills	Certificate training on mediation skills
	Excellent verbal and written communication skills	Strong organizational skills	Excellent verbal and written communication skills	Good verbal communication skills
	Strong leadership and organizational skills	Knowledge about conflict management and REDD+	Strong organizational skills	Basic computer skills
	Knowledge about overall REDD+	Basic computer skills of Microsoft office	Basic computer skills of Microsoft office	
	Basic computer skills on micro soft office and data base program			

8.3 Monitoring and Evaluation

8.3.1 Monitoring

Feedback and Grievance Redress Mechanism (FGRM) monitoring involves assessing the progress being made to handle grievances (World Bank, 2012b). The overall result of an effective FGRM is to enable stakeholders affected by REDD+ to receive timely feedback and appropriate responses. In that way the REDD+ structure will be fully and optimally functional, leading to improved forest governance and ultimately fulfilling the intended objectives of REDD+ program. To achieve this outcome, specific outputs and criteria have to be set and overall progress will be tracked through a timely monitoring exercise. The outputs should consider participation level of stake holders in FGRM, effectiveness of FGRM in dispensing the grievances and satisfaction level for the resolutions provided by the FGRM. Monitoring will be conducted by the national Focal point (FP) using relevant criteria such as number of grievances registered, number of stakeholders using the FGRM, percentage of grievances resolved, percentage of grievances addressed within set time frame, percentage of grievances resolved with satisfactory result against each expected output annually. Detailed monitoring protocols will be developed during the operational phase of the FGRM. During the monitoring process few representative cases will be selected region wise that are of importance and relevant to the implementation of the FGRM structure and process for qualitative assessment in addition to the information captured through the monitoring and evaluation frame work for FGRM (Table 7).

For transparency, stakeholders will have an opportunity to track grievances as well. The monitoring officer will on annual basis publish/update a list of existing and new grievances on the grievance page of the REDD+ website.

Table 7: Monitoring and Evaluation framework for Bhutan's FGRM

Output	Criteria	Methods/ Sources of information	Frequency of data collection	Responsible entity
Participation	Number of complaints registered	Computer database	12 months	National Focal Point (DoFPS)
	Number of stake holders by categories (community, Lease holder, private owner etc.) that have used the FGRM	Computer Database	12 months	
	Number of marginalized forest users by categories (forest dependent people, women etc) that have used the FGRM	Computer database	12 months	
	Percentage of grievances Resolved	Computer Database	12 months	
	Percentage of grievance addressed in set time frame	Computer Database	12 months	
	Percentage of grievances handled with simple conflict resolution techniques (apology, explanation, information sharing etc.)	Computer data-base	12 months	
Effectiveness	Percentage of grievances handled with more complex procedure (problem solving, mediation)	Computer data-base	12 months	

Resolution	Percentage of grievances resolved with satisfactory result	User survey	12 months	REDD+ Secretariat
	Complaints resolved by categories (participation, rights, benefit-sharing, etc)	Computer database		

8.3.2 Evaluation

FGRM evaluation involves analysis of grievance data and redefining and making policy or procedure to improve the grievance handling process (World Bank, 2012b). The REDD+ Secretariat in coordination with REDD+ Working Groups or any committees constituted for the purpose, representing various stakeholders overseeing the REDD+ process will be the body responsible for steering the FGRM to success. The REDD+ Secretariat will work with the Focal Point (FP) to gather insights and lessons learned from the implementation process and subsequently use those to improve the FGRM. The emphasis and focus will be on the resolution of the grievances. The REDD+ Secretariat can use more general inquiries for evaluation of annual output against the expectations of FGRM users. Some possible questions to pursue more qualitative information about the functioning of the FGRM as a whole are listed below. The evaluation will be carried out after two years after the operationalizing the FGRM.

- i. Is the system making a difference and if yes, how?
- ii. What are the gaps? What is and what is not working? The evaluation has to help analyze the efficacy of all components of the FGRM: types of responses that are more effective and can build trust with the stakeholders.
- iii. How effective is the system in resolving REDD+ related issues for women, poor and marginalized? What actions would increase effectiveness?
- iv. How does the FGRM facilitate identifying deeply rooted conflicts e.g. persistent, recurrent or unresolved conflicts? What kind of actions can be taken to address these root causes?
- v. What kind of demonstrable change is the FGRM producing in the REDD+ program for the program management and the stakeholders?

Chapter 9: Conclusions and Recommendations

9.1 Conclusions

The proposed FGRM for REDD+ program follows a semi-judicial model. Quasi-judicial structures are not new in the Bhutanese context and have been used in grievance resolution particularly at local level. The FGRM makes a strong link with the widely used informal system for dispute resolution, which is deeply trusted by local communities and forest user groups. If the informal or semi formal (FGRM) dispute resolution is ineffective, REDD+ affected stakeholders can submit their grievances to the formal grievance redress mechanism under Forest Act and Rules or the judicial courts. Thus, for the stakeholders, the FGRM can be considered as the “in-between” step in case the informal dispute resolution fails. This option is crucial, given the incidences of existing local grievances and the difficulty local forest users face in accessing the formal system.

The government has the mandate and proven ability to work together with diverse stakeholders including local forest users in a wide range of forest management regimes. The design of this FGRM has been within the ambit of national legislation and will respect the provisions and prescriptions of all forest management regimes. As such, the FGRM have been crafted as a system in which each stakeholder can function effectively without becoming bias when participating in the grievance redress process. The FGRM particularly promotes judgments by subject matter experts rather than by existing government structures under the DoFPS.

9.2 Recommendations

During the development of the FGRM, several reviews and analysis of provisions necessary for a functional FGRM for REDD+ implementation in Bhutan were carried out and presented in this document. Compared to other projects and programs the REDD+FGRM is quite different. Since, REDD+ as a program is still evolving and very less experimented worldwide, there is no blueprint on how to implement policies and programs. Therefore, the proposed FGRM is not only a mechanism to simply receive and handle complaints but should be seen as a governance tool for continuous learning and improving for defining and refining an effective and acceptable system of resolving grievances.

Based on the insights of developing the FGRM, two sets of recommendations are proposed on legal provisions and on operationalization of the FGRM. Each set of recommendations are elaborated below.

9.2.1 Recommendations for Legal Provisions for the FGRM

Create Legal Provisions for REDD+ implementation and FGRM institutionalization

In order to have effective REDD+ implementation, there is a degree of urgency to reform forests and environmental laws. It is also required to harmonize legal inconsistencies between the various existing relevant legislations. Amendment is necessary to introduce the following at the minimum:

- i) Legal definition of REDD+, carbon emission, forest degradation, deforestation, environmental services
- ii) Provision empowering the REDD+ Secretariat or other designated entity as coordinating body and institution responsible for the FGRM
- iii) Harmonization of forest related regulatory framework to clarify their roles in effective REDD+ implementation and functioning

- iv) Rights and interest of forest users group related to REDD+ benefits, specifically the interest of local, marginalized and indigenous people
- v) Cause and remedy of deforestation and forest degradation
- vi) REDD+ related benefit sharing modus operandi
- vii) Provisions about free prior and informed consent (FPIC) to comply with international human right standards. It is advisable to establish a transparent process for FPIC in legal regulations. The process should envisage stipulations about culturally sensitive ways of information sharing and consultation about the programs and potential risk and benefits, after which the community can speak out their consent about participating in REDD+
- viii) Specific provisions for Feedback and Grievance Redress Mechanism (FGRM) to handle REDD+ related grievances and rights and duties of grievance officers within FGRM

9.2.2 Recommendations for Operationalization of the FGRM

Gradual expansion of FGRM from District/Regional to National level

The focus of REDD+ implementation is on the forests managed under various regimes primarily for the sustainable use of resources. Understandably, forests with higher anthropogenic interventions that may potentially generate more grievances will provide the stakeholders with insights and lessons in the course of FGRM operation. It is therefore recommended to build the FGRM gradually from the region/district with better options to test the system in a 'doing and learning mode' as it expands to national scale. The first nine months are crucial for implementation and therefore adequate guidance from experts in grievance and redress is emphasized especially given the limited knowledge in this area at the Department. Once the FGRM is set up and there is trust from the stakeholders, the FGRM structure internalized within the department can function effectively.

Raising Awareness about the FGRM from Initiation

A robust program of raising awareness about the FGRM is recommended alongside its implementation to encourage stakeholders using the mechanism. In this way, conflicts are immediately addressed and trust is built. Awareness raising activities about the FGRM can be best combined with the ongoing general awareness activities about REDD+ to maximize outreach and logistic efficiency. Special consideration for the targeted vulnerable groups.

Create Incentives for using the FGRM

The Bhutanese culture and local circumstances indicate that there are noticeable constraints for local level forest users to avail formal systems for grievance redress. The FGRM, as a quasi-formal system, may face the similar constraints for use by local communities. It is therefore recommended to create some incentives in the form of training and other capacity building support for local level forest users to use the FGRM.

Annexures

Annexure 1: Checklist of Questions for Stakeholders with Guiding notes

A: Respondents from Forestry Sector

PART I

Guidance for Questionnaire survey respondents

The guide questions are intended to capture as much as possible relevant information and data from diverse stakeholders who will have their stakes and roles in implementation of various REDD+ activities at various levels. The relevant stakeholders may be an agency or individuals, public or private sectors such as forest or park officials, local communities etc. In framing the questions, efforts have been made to cover various types of grievances and aspects of grievance redress mechanisms that are existing in the country. The queries try to cover important components required to design and develop a practical FGMR that can be easily accessed by the affected parties, the local communities in particular. The check list of questions attached is slightly customized to meet the needs of the target respondents, forest agency/official in this particular case. Query wise notes are detailed below for necessary reading and guidance to facilitate desired responses:

1. This question seeks information on various types of forest management regimes within the jurisdiction of the respondent such as FMU, Protected area, community forests, private forests etc. This is applicable to field division only.
2. The respondent will name the forest management regimes that have significant and direct contribution to the livelihoods of the local communities.
3. Present forest management regimes should be ranked depending on the occurrence of conflicts and grievances preferably in order of magnitude.
4. The respondent should make an assessment whether the grievances are attributed to broad category like environmental, legal, social, economical, institutional or political factors/drivers. For example boundary disputes can be due to legal factor, land and forest resource use can be due to environmental factor, benefit sharing can be due to economic factor and elite capture may be political driver and so on.
5. This seeks to answer your level of awareness and general knowledge on climate change impacts in the national context and more particularly climate change risks locally.
6. This question seeks to dwell on the level of awareness and information of the respondent regarding REDD+ mechanism, its structure and functions formulated and agreed globally including relevance to the participating country.
7. In this section, you need to express based on your professional judgment whether REDD+ actions (policy and measures) will effectively contribute to address climate change impacts or not through various intended actions.
8. Please state whether you regularly participate in REDD+ program in your areas for planning and implementation of REDD+ activities. This is to assess whether Stakeholder engagement is genuinely pursued in REDD+ program.
9. This question is intended to capture the category and types of grievances related to REDD+ program which will eventually inform the types of redress mechanisms to address them.
10. Given an opportunity to address a grievance/dispute, you need to choose an option for resolution whether you prefer to adopt a particular mechanism for redress. Please state your reasons for doing so.

11. As answers to this query, please mention the informal redress mechanisms in forestry that you are aware of and state reasons for knowing /not knowing them.
12. State/name the various formal grievance redress mechanisms presently adopted by stakeholders to resolve forestry related conflicts/grievances.
13. Tick the multiple choice options provided where applicable. It can be one or more options.
14. Tick the multiple choice options provided where applicable. It can be one or more options.
15. State whether any forestry grievance has been executed through informal redress mechanism and whether the decision has been intimated to you.
16. State whether any forestry grievance has been executed through formal redress mechanism and whether the verdict has been intimated to you.
17. State your level of satisfaction on the outcome of the informal grievance redress mechanism and substantiate your feedback.
18. State your level of satisfaction on the outcome of the formal grievance redress mechanism and substantiate your feedback.
19. Mention barriers and constraints to pursue grievance redress through formal mechanisms that discourage the disputants to opt formal mechanisms.
20. Mention the preferred means of communication in receiving and responding to conflicts and grievances at different levels and give reasons for preferring one over others if warranted.
21. The respondent needs to understand at the minimum the various models in grievance redress such as interest and right based models. You may take a typical grievance case in forestry and form an opinion whether interest based (win-win) or right based (win-lose) model is preferred in handling REDD+ grievance. This varies depending on the nature and type of grievances.
22. The query in this case is self explicit and the response will be types of grievance redress systems presently followed by the forestry sector for resolving various in grievances/conflicts in forestry sector.
23. The respondent needs to make an informed choice of continuing with the existing grievance redress mechanisms or think of a more effective, strengthened yet simple and socially acceptable system that also meets the requirements of FGRM for REDD+.
24. While attending to this question, the respondent is expected to consider whether the existing institutional/organisational structure is adequate to deal with the potential grievances emerging with REDD+ actions as also weigh the options of a centralised grievance cell against tier system of institutional arrangement to address the conflicts/grievances
25. Once a suitable FGRM is developed, the implementation of the mechanism will follow an inclusive and collaborative approach involving different stakeholders with varied roles and responsibility. Since the forestry sector will be the most important agency (as duty bearer) that may require to implement the mechanism, you may professionally articulate your role and responsibility and provide a short narrative.
26. This question asks the respondent to recall from his/her knowledge and experience the frequency of forest-related conflicts in the past.
27. This question asks the respondent to select the reasons for the conflict; whether it was out of social (livelihoods) or economic (commercial) intent of the person breaking the rules in the past.
28. This question asks the respondent to recall from his/her knowledge and experience the fre-

quency of forest-related conflicts in today.

29. This question asks the respondent to select the reasons for the conflict; whether it was out of social (livelihoods) or economic (commercial) intent of the person breaking the rules now.
30. This question asks the respondent to answer based on his/her knowledge and experience, the causes of conflicts in understanding the motivation of the defaulter in committing the offence.
31. This question asks the respondent to assess which parties are involved in the conflict
32. This question asks the respondent the stakes (what stakes the parties in the conflict – what they stand to win or lose) they have in the conflict
33. This questions seeks to understand from the respondent, from his/her knowledge and experience, assessment on volume of conflicts over time.
34. This question asks the respondent to state from his/her experience, the type of formal responses in terms of processes used to settle the conflicts.
35. This question asks the respondent to state from his/her experience, the type of informal responses in terms of processes used to settle the conflicts.
36. This questions asks the respondent to state from his/her observation, the winner (those who got most benefit) from the settlement of the conflict
37. This question asks the respondent to state from his/her observation, the loser (those who got suffered loss of some kind) from the settlement of the conflict
38. This question asks the respondent to state from his/her observation what social outcomes were achieved out of the settlement of the conflict.
39. This question asks the respondent to state from his/her observation if the settlement of the conflict had an impact on vulnerable groups led to positive or negative socio-economic outcomes
40. This question asks the respondent to state from his/her observation if the settlement of the conflict had an impact on community cohesion – namely did it lead to more community vitality unifying the community or otherwise
41. This is an open-ended question seeking the respondent's suggestions on what solutions in FGRM could lead to more socially beneficial and equitable outcomes for the people.
42. Please provide additional suggestions that you feel are relevant and important in the design and development of FGRM for Bhutan REDD+ from your own experience or inputs from other stakeholders' perspective.

N.B. The responses to the questions may be framed based on consultative meetings organized by the respective offices among their staff to capture broad based perspective and consensus.

PART II

Checklist for Questionnaire survey for Department of Forests and Park Services

General information

Division/Park/Others:

Types of Consultation: Questionnaire interview/survey

Respondent:

Male:

Female:

1. What different types of Forest management regimes are implemented in the Division/Park?

- a. Forest Management Units (FMUs)
- b. Protected Areas (National parks, sanctuaries, reserves, biological corridors)
- c. Community Forests (CFs)
- d. Lease Forests
- e. Private Forests
- f. Others (e.g. Forests areas outside planned forest management regimes)

2. Which Forest management regimes in your professional opinion directly support local livelihoods?

- a. Forest Management Units (FMUs)
- b. Protected Areas (National parks, sanctuaries, reserves, biological corridors)
- c. Community Forests (CFs)
- d. Lease Forests
- e. Private Forests
- f. Others (e.g. Forests areas outside planned forest management regimes)

3. Which Forest management regimes have more conflicts and grievances during planning and implementation?

- a. Forest Management Units (FMUs)
- b. Protected Areas (National parks, sanctuaries, reserves, biological corridors)
- c. Community Forests (CFs)
- d. Lease Forests
- e. Private Forests
- f. Others (e.g. Forests areas outside planned forest management regimes)

4. What are the broad category of grievance drivers?

- a. Environmental
- b. Legal
- c. Social
- d. Economical
- e. Institutional/organisational
- f. Political

5. Are you aware of Climate change risk to forests/livelihood in general?

- a. Realized any change in the climate pattern
- b. Realized risk to livelihood activities due to climate change
- c. Causes or reasons of climate change
- d. Changed adaptation strategies, if any

6. Are you aware of REDD+ architecture as an internationally adopted climate impacts mitigation mechanism in forestry sector?

- a. Fully aware of REDD+ architecture
- b. Aware of REDD+ to the extent it is applied in the country
- c. cursory awareness only

7. How do you rate the effectiveness of REDD+ actions in forestry to mitigate climate change risks in the country?

- a. Good
- b. Satisfactory
- c. Poor
- d. Not sure

8. What is your participation level in REDD+ program till date?

- a. Not participated in REDD+ activities
- b. Attend meeting of REDD+ regularly but not speak
- c. Attend meeting of REDD+ regularly and engage in discussion
- d. Attend meeting and take part in decision making

9. Enumerate specific existing grievances/conflicts related to REDD+ program?

- a. Grievance due to lack of information/participation
- b. Grievance due to benefit sharing
- c. Grievance due to REDD program and policies
- d. Grievance due to FPIC
- e. Grievance due to right to the land
- f. Grievance due to unequal access to forest resources
- g. Grievance due to exclusion

10. Which dispute redress mechanisms you prefer for the resolution and redress of REDD+ and other forestry grievances?

- a. Prefer informal dispute resolution
- b. Prefer formal dispute resolution

11. Are you aware of existing informal grievance redress mechanisms to resolve grievances in forestry?

If yes name these mechanisms

12. What are the existing formal grievance redress mechanisms to resolve grievances/conflicts in forestry?

Name the various dispute/grievance systems

13. What is the process and procedure used to access the informal grievance redress mechanism?

- a. Follow the regular process to avail the informal mechanism
- b. Attending meetings and talking to leaders
- c. Writing letter to leaders
- d. Looking outside for support

14. What is the procedure used to access the formal grievance redress mechanism?

- a. Know the formal procedure
- b. Attending meetings and talking to officials
- c. Writing letter to officials/formal forums
- d. Going to designated office/court
- f. Looking outside for support

15. Are you intimated of the Decisions executed from the informal dispute resolution system?

- a. Yes, we receive the intimation on the decision
- b. No, we do not receive the intimation on the decision

16. Are you informed of the Decisions executed from the formal dispute resolution system?

- a. Yes, we receive the decision of the court
- b. No, we do not receive the verdict of the court

17. Are you satisfied with the process and decision of the informal grievance redress mechanism?

- a. Fully satisfied: Reasons of satisfaction?
- b. Partially satisfied Reasons of partial satisfaction?
- c. Not satisfied: Reasons of dissatisfaction?

18. Are you satisfied with the process and verdict of the formal grievance redress mechanism?

- a. Fully satisfied: Reasons of satisfaction?
- b. Partially satisfied: Reasons of partial satisfaction?
- c. Not satisfied: Reasons of dissatisfaction?

19. What in your considered opinion are Barriers for going to formal court?

- a. Too far away
- b. Too complicated/unfamiliar
- c. Too expensive
- d. Outcome does not provide a workable solution
- e. Not culturally appropriate
- f. Takes too long

20. What are the preferred means of communicating/receiving grievances?

- a. Email/letter
- b. Representative individual/organization
- c. Phone
- d. Direct meeting
- e. Proactive outreach

21. What in your informed assessment is the preferred grievance redress mechanism?

- a. Value and interest based model (informal mechanisms)
- b. Primarily interest based but addresses simpler right based grievances as well
- c. Right based models (formal mechanisms)

22. What are the functioning grievance redress mechanisms presently in place for resolving forest related conflicts?

- a. Settlement of the conflict/grievance through application of forest act and rules
- b. Litigation through the court of justice
- c. Grievance redressal mechanisms at local level

23. Considering the formal grievance redress resolution followed in forestry sector till date, do you think it is necessary to develop a FGRM based on negotiation, dialogue and problem solving model to address the potential risks/grievances of REDD+ actions?

- a. If Yes, give your reasons/justifications
- b. If No, give your reasons/justifications

24. Can you articulate the type of institutional arrangement for a FGRM to address REDD+ grievances and conflicts in Bhutan?

- a. A centralised cell in Thimphu to receive and dispense all grievances. If yes, cite your reasons
- b. A multi tier system starting from geog to national level. If yes, cite your reasons

25. Your expected roles and place in the proposed Feedback and Grievance Redress Mechanism for REDD+

Provide short narrative not more than two sentences

26. How was the general trend and frequency of forest/natural resource conflicts/grievances in the country in the past?

- a. Very frequent
- b. Infrequent
- c. Rare

- 27. What was the nature and pattern of conflicts in the past?(More than 1 response permitted – tick all that apply)**
- a. Economic
 - b. Social
 - c. Criminal
 - d. Others (specify)
- 28. How is the trend and frequency of the forest/natural resource conflicts in the country now?**
- a. Very frequent
 - b. Infrequent
 - c. Rare
- 29. What is the nature and pattern of conflicts now?(More than 1 response permitted – tick all that apply)**
- a. Economic
 - b. Social
 - c. Criminal
 - d. Others (specify)
- 30. What leads to natural resource conflicts in Bhutan? (More than 1 response permitted – tick all that apply)**
- a. Poverty
 - b. Greed
 - c. Mischief
 - d. Others (specify)
- 31. Who were/are the opposing parties in such conflicts?**
- a. One villager with another
 - b. Villager with Forestry Official
 - c. Villager with CFMG
 - d. Others (specify)
- 32. What are the stakes/vested interests in the conflict?(More than 1 response permitted – tick all that apply)**
- a. Illegally felling timber for domestic use
 - b. Illegally fell timber for commercial sale
 - c. Illegally collect NTFPs for domestic use or commercial sale
 - d. Unauthorised extraction of forest produce from community forests by members/others
 - e. Other general forest resource use/abuse cases
- 33. How have natural resource conflicts evolved over time in numbers and nature?(More than 1 response permitted – tick all that apply)**
- a. Increase in villagers illegally take forest produce for domestic use
 - b. Increase in villagers illegally take forest produce for commercial use
 - c. Decrease in villagers illegally take forest produce for domestic use
 - d. Decrease in villagers illegally take forest produce for commercial use
 - e. Remained the same
- 34. What formal management responses are used to address forest/natural resource conflicts?(More than 1 response permitted – tick all that apply)**
- a. Implement provisions of Forest Act and Rules
 - b. Settle through courts of law
 - c. Others (specify)
- 35. Which traditional conflict management responses are used to address forest/natural resource conflicts?(More than 1 response permitted – tick all that apply)**
- a. Settled through the Gup's Office
 - b. Settled through the village Tshogpa
 - c. Others (specify)

36. Who are the winners from the GRM process?(More than 1 response permitted – tick all that apply)

- a. Government (Forestry)
- b. Villagers
- c. Villager complainant against another villager
- d. Others (specify)

37. Who are the losers from the GRM process?(More than 1 response permitted – tick all that apply)

- a. Government (Forestry)
- b. Villagers
- c. Villager complainant against another villager
- d. Others (specify)

38. How effective are/were these GRM responses in attaining the following (More than 1 response permitted – tick all that apply)

- a. Fair justice
- b. Social equality
- c. Economic equality
- d. Sustainability

39. What was the impact of management responses to GRM on vulnerable groups (women, forest-dependent local communities, poor and vulnerable populations)?

- a. Enhanced the socio-economic benefit
- b. Reduced socio-economic benefit
- c. Socio-economic benefit maintained at same level
- d. Others (specify)

40. What impacts did these responses have on community cohesion and natural resource management?

- a. Led to communities being divided because of the decision
- b. Led to communities being unified because of the decision
- c. Did not lead to any change

41. What suggestions do you have on solutions for more socially equitable FGRM?

Suggest in not more than two sentences

42. Other suggestions, if any

Provide a short narrative in one paragraph

Note: The responses to the questions are expected in the form of ticking the options provided against each query or short narratives as justification and suggestions where needed. Where options have to be marked as responses to the questions, more than one option can be ticked when applicable.

B: Respondents from Regional Levels

PART I

Guidance for Questionnaire survey respondents

The guide questions are intended to capture as much as possible relevant information and data from diverse stakeholders who will have their stakes and roles in implementation of various REDD+ activities at various levels. The relevant stakeholders may be an agency or individuals, public or private sectors, NGOs, CSOs, local community institutions at regional, dzongkhag, geog or community levels including

vulnerable forest dependent and farming communities. In framing the questions, efforts have been made to cover various types of grievances and aspects of grievance redress mechanisms that are existing in the country. The queries try to cover important components required to design and develop a practical FGRM that can be easily accessed by the affected parties, the local communities in particular. The check list of questions attached is slightly customized to meet the needs of the target respondents who have more direct stakes on environment and forest sector implying that they are either impacted or impact the REDD+ activities that may generate potential grievances and conflicts. Query wise notes are detailed below for necessary reading and guidance to facilitate desired responses. All the participants of the workshop are expected to respond to the questions on the basis of their knowledge and experience individually.

1. Present forest management regimes should be ranked depending on the occurrence of conflicts and grievances preferably in order of magnitude.
2. The respondent should make an assessment whether the grievances are attributed to broad category like environmental, legal, social, economical, institutional or political factors/drivers. For example boundary disputes can be due to legal factor, land and forest resource use can be due to environmental factor, benefit sharing can be due to economic factor and elite capture may be political driver and so on.
3. This question seeks to dwell on the level of awareness and information of the respondent regarding REDD+ mechanism, its structure and functions formulated and agreed globally including relevance to the participating country.
4. In this section, you need to express based on your professional judgment whether REDD+ actions (policy and measures) will effectively contribute to address climate change impacts or not through various intended actions.
5. Please state whether you regularly participate in REDD+ program in your areas for planning and implementation of REDD+ activities. This is to assess whether Stakeholder engagement is genuinely pursued in REDD+ program.
6. This question is intended to capture the category and types of grievances related to REDD+ program which will eventually inform the types of redress mechanisms to address them.
7. Given an opportunity to address a grievance/dispute, you need to choose an option for resolution whether you prefer to adopt a particular mechanism for redress. Please state your reasons for doing so.
8. As answers to this query, please mention the informal redress mechanisms in environmental/forestry sector that you are aware of and state reasons for knowing /not knowing them.
9. State/name the various formal grievance redress mechanisms presently adopted by stakeholders to resolve forestry related conflicts/grievances.
10. Tick the multiple choice options provided where applicable. It can be one or more options.
11. Tick the multiple choice options provided where applicable. It can be one or more options.
12. State whether any REDD+/forestry grievance has been executed through informal redress mechanism and whether the decision has been intimated to you.
13. State whether any REDD+/forestry grievance has been executed through formal redress mechanism and whether the verdict has been intimated to you.
14. State your level of satisfaction on the outcome of the informal grievance redress mechanism

- and substantiate your feedback.
15. State your level of satisfaction on the outcome of the formal grievance redress mechanism and substantiate your feedback.
 16. Mention barriers and constraints to pursue grievance redress through formal mechanisms that discourage the disputants to opt formal mechanisms.
 17. Mention the preferred means of communication in receiving and responding to conflicts and grievances at different levels and give reasons for preferring one over others if warranted.
 18. The respondent needs to understand at the minimum the various models in grievance redress such as interest and right based models. You may take a typical grievance case in forestry and form an opinion whether interest based (win-win) or right based (win-lose) model is preferred in handling REDD+ grievance. This varies depending on the nature and type of grievances.
 19. The query in this case is self explicit and the response will be types of grievance redress systems presently followed by the forestry sector for resolving various grievances/conflicts in forestry sector.
 20. While attending to this question, the respondent is expected to consider whether the existing institutional/organizational structure is adequate to deal with the potential grievances emerging with REDD+ actions as also weigh the options of a centralized grievance cell against tier system of institutional arrangement to address the conflicts/grievances
 21. Once a suitable FGRM is developed, the implementation of the mechanism will follow an inclusive and collaborative approach involving different stakeholders with varied roles and responsibility. Since the forestry sector will be the most important agency (as duty bearer) that may require to implement the mechanism, you may professionally articulate your role and responsibility in such a FGRM and provide a short narrative.
 22. This question asks the respondent to recall from his/her knowledge and experience the frequency of forest-related conflicts in the past.
 23. This question asks the respondent to select the reasons for the conflict; whether it was out of social (livelihoods) or economic (commercial) intent of the person breaking the rules in the past.
 24. This question asks the respondent to recall from his/her knowledge and experience the frequency of forest-related conflicts in today.
 25. This question asks the respondent to select the reasons for the conflict; whether it was out of social (livelihoods) or economic (commercial) intent of the person breaking the rules now.
 26. This question asks the respondent to answer based on his/her knowledge and experience, the causes of conflicts in understanding the motivation of the defaulter in committing the offence.
 27. This question asks the respondent to assess which parties are involved in the conflict
 28. This question asks the respondent the stakes (what stakes the parties in the conflict – what they stand to win or lose) they have in the conflict
 29. This questions seeks to understand from the respondent, from his/her knowledge and experience, assessment on volume of conflicts over time.

30. This question asks the respondent to state from his/her experience, the type of formal responses in terms of processes used to settle the conflicts.
31. This question asks the respondent to state from his/her experience, the type of informal responses in terms of processes used to settle the conflicts.
32. This questions asks the respondent to state from his/her observation, the winner (those who got most benefit) from the settlement of the conflict
33. This question asks the respondent to state from his/her observation, the loser (those who got suffered loss of some kind) from the settlement of the conflict
34. This question asks the respondent to state from his/her observation what social outcomes were achieved out of the settlement of the conflict.
35. This question asks the respondent to state from his/her observation if the settlement of the conflict had an impact on vulnerable groups led to positive or negative socio-economic outcomes
36. This question asks the respondent to state from his/her observation if the settlement of the conflict had an impact on community cohesion – namely did it lead to more community vitality unifying the community or otherwise
37. This is an open-ended question seeking the respondent’s suggestions on what solutions in FGRM could lead to more socially beneficial and equitable outcomes for the people.
38. Please provide additional suggestions that you feel are relevant and important in the design and development of FGRM for Bhutan REDD+ from your own experience or inputs from other stakeholders’ perspective.

N.B. The responses to the questions may be framed based on consultative meetings organized by the respective offices among their staff to capture broad based perspective and consensus.

PART II

Checklist for Questionnaire survey for Regional stakeholders

General information

Region: _____ Types of Consultation: Questionnaire interview/survey

Respondent: _____ Male: _____ Female: _____

1. Which Forest management regimes in your judgment have more grievances during planning and implementation?

- a. Forest Management Units (FMUs)
- b. Protected Areas (National parks, sanctuaries, reserves, biological corridors)
- c. Community Forests (CFs)
- d. Lease Forests
- e. Private Forests
- f. Others (e.g. Forests areas outside planned forest management regimes)

2. What are the broad category of grievance drivers?

- a. Environmental
- b. Legal
- c. Social
- d. Economical
- e. Institutional/organisational
- f. Political

3. Are you aware of REDD+ as a climate impacts mitigation mechanism in nature resource/forestry sector?

- a. Fully aware of REDD+ architecture
- b. Aware of REDD+ to the extent it is applied in the country
- c. cursory awareness only

4. How effective can REDD+ actions be in natural resource/forestry to mitigate climate change risks?

- a. Good
- b. Satisfactory
- c. Poor
- d. Not sure

5. What is your participation level in REDD+ program till date?

- a. Not participated in REDD+ activities
- b. Attend meeting of REDD+ regularly but not speak
- c. Attend meeting of REDD+ regularly and engage in discussion
- d. Attend meeting and take part in decision making

6. Enumerate specific existing grievances/conflicts related to REDD+ program?

- a. Grievance due to lack of information/participation
- b. Grievance due to benefit sharing
- c. Grievance due to REDD program and policies
- d. Grievance due to FPIC
- e. Grievance due to right to the land
- f. Grievance due to unequal access to forest resources
- g. Grievance due to exclusion

7. Which grievance redress mechanisms you prefer for the resolution of REDD+ grievances?

- c. Prefer informal dispute resolution
- d. Prefer formal dispute resolution

8. Are you aware of existing informal grievance redress mechanisms to resolve grievances in natural resource/forestry?

If yes name these mechanisms

9. What are the existing formal grievance redress mechanisms to resolve grievances/conflicts in natural resource/forestry?

Name the various dispute/grievance systems

10. What is the procedure to avail the informal grievance redress mechanism?

- a. Follow the regular process to avail the informal mechanism
- b. Attending meetings and talking to leaders
- c. Writing letter to leaders
- d. Looking outside for support

11. What is the procedure to avail the formal grievance redress mechanism?

- a. Know the formal procedure
- b. Attending meetings and talking to officials
- c. Writing letter to officials/formal forums
- d. Going to designated office/court
- e. Looking outside for support

12. Are you intimated of the Decisions executed from the informal dispute resolution system?

- a. Yes, we receive the intimation on the decision
- b. No, we do not receive the intimation on the decision

13. Are you informed of the Decisions executed from the formal dispute resolution system?

- a. Yes, we receive the decision of the court
- b. No, we do not receive the verdict of the court

14. Are you satisfied with the process and decision of the informal grievance readdress mechanism?

- | | |
|------------------------|----------------------------------|
| a. Fully satisfied: | Reasons of satisfaction? |
| b. Partially satisfied | Reasons of partial satisfaction? |
| c. Not satisfied: | Reasons of dissatisfaction? |

15. Are you satisfied with the process and verdict of the formal grievance redress mechanism?

- | | |
|-------------------------|----------------------------------|
| a. Fully satisfied: | Reasons of satisfaction? |
| b. Partially satisfied: | Reasons of partial satisfaction? |
| c. Not satisfied: | Reasons of dissatisfaction? |

16. What in your considered opinion are Barriers for going to formal court?

- Too far away
- Too complicated/unfamiliar
- Too expensive
- Outcome does not provide a workable solution
- Not culturally appropriate
- Takes too long

17. What are the preferred means of communicating/receiving grievances?

- Email/letter
- Representative individual/organization
- Phone
- Direct meeting
- Proactive outreach

18. What in your informed assessment is the preferred grievance redress mechanism?

- Value and interest based model (informal mechanisms)
- Primarily interest based but addresses simpler right based grievances as well
- Right based models (formal mechanisms)

19. What are the functioning grievance redress mechanisms presently in place for resolving natural resource/forest related conflicts?

- Settlement of the conflict/grievance through application of forest act and rules
- Litigation through the court of justice
- Grievance redressal mechanisms at local level

20. Can you articulate the type of institutional arrangement for a FGRM to address REDD+ grievances in Bhutan?

- A centralised cell in Thimphu to receive and dispense all grievances. If yes, cite your reasons
- A multi tier system starting from geog to national level.
- If yes, cite your reasons

21. Your expected roles and place in the proposed Feedback and Grievance Redress Mechanism for REDD+

Provide short narrative not more than two sentences

22. How was the general trend and frequency of forest/natural resource conflicts/grievances in the country in the past?
- Very frequent
 - Infrequent
 - Rare
23. What was the nature and pattern of conflicts in the past?
- Economic
 - Social
 - Criminal
 - Others (specify)
24. How is the trend and frequency of the forest/natural resource conflicts in the country now?
- Very frequent
 - Infrequent
 - Rare
25. What is the nature and pattern of conflicts now?
- Economic
 - Social
 - Criminal
 - Others (specify)
26. What leads to natural resource conflicts in Bhutan?
- Poverty
 - Greed
 - Mischief
 - Others (specify)
27. Who were/are the opposing parties in such conflicts?
- One villager with another
 - Villager with Forestry Official
 - Villager with CFMG
 - Others (specify)
28. What are the stakes/vested interests in the conflict?
- Illegally felling timber for domestic use
 - Illegally fell timber for commercial sale
 - Illegally collect NTFPs for domestic use or commercial sale
 - Unauthorized extraction of forest produce from community forests by members/others
 - Other general forest resource use/abuse cases
29. How have natural resource conflicts evolved over time in numbers and nature?
- Increase in villagers illegally take forest produce for domestic use
 - Increase in villagers illegally take forest produce for commercial use
 - Decrease in villagers illegally take forest produce for domestic use
 - Decrease in villagers illegally take forest produce for commercial use
 - Remained the same
30. What formal management responses are used to address forest/natural resource conflicts?

- a. Implement provisions of Forest Act and Rules
- b. Settle through courts of law
- c. Others (specify)

31. Which traditional conflict management responses are used to address forest/natural resource conflicts?

- a. Settled through the Gup's Office
- b. Settled through the village Tshogpa
- c. Others (specify)

32. Who are the winners from the GRM process?

- a. Government (Forestry)
- b. Villagers
- c. Villager complainant against another villager
- d. Others (specify)

33. Who are the losers from the GRM process?

- a. Government (Forestry)
- b. Villagers
- c. Villager complainant against another villager
- d. Others (specify)

34. How effective are/were these GRM responses in attaining the following?

- a. Fair justice
- b. Social equality
- c. Economic equality
- d. Sustainability

35. What was the impact of management responses to GRM on vulnerable groups (women, forest-dependent local communities, poor and vulnerable populations)?

- a. Enhanced the socio-economic benefit
- b. Reduced socio-economic benefit
- c. Socio-economic benefit maintained at same level
- d. Others (specify)

36. What impacts did these responses have on community cohesion and natural resource management?

- a. Led to communities being divided because of the decision
- b. Led to communities being unified because of the decision
- c. Did not lead to any change

37. What suggestions do you have on solutions for more socially equitable FGRM?

Suggest in not more than two sentences

38. Other suggestions, if any

Provide a short narrative in one paragraph

Note: The responses to the questions are expected in the form of ticking the options provided against each query or short narratives as justification and suggestions where needed. Where options have to be marked as responses to the questions, more than one option can be ticked when applicable.

C: Respondents for the Questionnaire Survey at Local Levels

The guide questions are intended to capture as much as possible relevant information and data from stakeholders at the local levels who will have their stakes and roles in implementation of various REDD+ activities. The relevant stakeholders may be local government, community institutions at geog or community levels, CFMG members including other vulnerable forest dependent and farming communities. In framing the questions, efforts have been made to cover various types of grievances and aspects of grievance redress mechanisms that are existing in the country. The queries try to cover important components required to design and develop a practical FGRM that can be easily accessed by the affected parties, the local communities in particular. The check list of questions attached is slightly customized to meet the needs of the target respondents who have more direct stakes on environment and forest sector implying that they are either impacted or impact the REDD+ activities that may generate potential grievances and conflicts. Query wise notes are detailed below for necessary reading and guidance to facilitate desired responses.

1. The respondent should make an assessment whether the grievances are attributed to broad category like environmental, legal, social, economical, institutional or political factors/drivers. For example boundary disputes can be due to legal factor, land and forest resource use can be due to environmental factor, benefit sharing can be due to economic factor and elite capture may be political driver and so on.
2. This question seeks to dwell on the level of awareness and information of the respondent regarding REDD+ mechanism, its structure and functions formulated and agreed globally including relevance to the participating country.
3. In this section, you need to express based on your professional judgment whether REDD+ actions (policy and measures) will effectively contribute to address climate change impacts or not through various intended actions.
4. Please state whether you regularly participate in REDD+ program in your areas for planning and implementation of REDD+ activities. This is to assess whether Stakeholder engagement is genuinely pursued in REDD+ program.
5. This question is intended to capture the category and types of grievances related to REDD+ program which will eventually inform the types of redress mechanisms to address them.
6. Given an opportunity to address a grievance/dispute, you need to choose an option for resolution whether you prefer to adopt a particular mechanism for redress. Please state your reasons for doing so.
7. As answers to this query, please mention the informal redress mechanisms in environmental/forestry sector that you are aware of and state reasons for knowing /not knowing them.
8. State/name the various formal grievance redress mechanisms presently adopted by stakeholders to resolve forestry related conflicts/grievances.
9. State your level of satisfaction on the outcome of the informal grievance redress mechanism and substantiate your feedback.
10. State your level of satisfaction on the outcome of the formal grievance redress mechanism and substantiate your feedback.
11. Mention barriers and constraints to pursue grievance redress through formal mechanisms that discourage the disputants to opt formal mechanisms.
12. Mention the preferred means of communication in receiving and responding to conflicts and grievances at different levels and give reasons for preferring one over others if warranted.
13. The query in this case is self explicit and the response will be types of grievance redress systems presently followed by the forestry sector for resolving various grievances/conflicts in forestry sector.

14. While attending to this question, the respondent is expected to consider whether the existing institutional/organizational structure is adequate to deal with the potential grievances emerging with REDD+ actions as also weigh the options of a centralised grievance cell against tier system of institutional arrangement to address the conflicts/grievances
15. Once a suitable FGRM is developed, the implementation of the mechanism will follow an inclusive and collaborative approach involving different stakeholders with varied roles and responsibility. Since the forestry sector will be the most important agency (as duty bearer) that may require to implement the mechanism, you may professionally articulate your role and responsibility in such a FGRM and provide a short narrative.
16. This question asks the respondent to recall from his/her knowledge and experience the frequency of forest-related conflicts in the past.
17. This question asks the respondent to select the reasons for the conflict; whether it was out of social (livelihoods) or economic (commercial) intent of the person breaking the rules in the past.
18. This question asks the respondent to recall from his/her knowledge and experience the frequency of forest-related conflicts in today.
19. This question asks the respondent to select the reasons for the conflict; whether it was out of social (livelihoods) or economic (commercial) intent of the person breaking the rules now.
20. This question asks the respondent to answer based on his/her knowledge and experience, the causes of conflicts in understanding the motivation of the defaulter in committing the offence.
21. This question asks the respondent to assess which parties are involved in the conflict
22. This question asks the respondent the stakes (what stakes the parties in the conflict – what they stand to win or lose) they have in the conflict
23. This questions seeks to understand from the respondent, from his/her knowledge and experience, assessment on volume of conflicts over time.
24. This question asks the respondent to state from his/her experience, the type of formal responses in terms of processes used to settle the conflicts.
25. This question asks the respondent to state from his/her experience, the type of informal responses in terms of processes used to settle the conflicts.
26. This question asks the respondent to state from his/her observation, the winner (those who got most benefit) from the settlement of the conflict
27. This question asks the respondent to state from his/her observation, the loser (those who got suffered loss of some kind) from the settlement of the conflict
28. This question asks the respondent to state from his/her observation what social outcomes were achieved out of the settlement of the conflict.
29. This question asks the respondent to state from his/her observation if the settlement of the conflict had an impact on vulnerable groups led to positive or negative socio-economic outcomes
30. This question asks the respondent to state from his/her observation if the settlement of the conflict had an impact on community cohesion – namely did it lead to more community vitality unifying the community or otherwise
31. This is an open-ended question seeking the respondent's suggestions on what solutions in FGRM could lead to more socially beneficial and equitable outcomes for the people.
32. Please provide additional suggestions that you feel are relevant and important in the design and development of FGRM for Bhutan REDD+ from your own experience or inputs from other stakeholders' perspective.

Checklist for Questions

1. What are the factors/causes(drivers) that lead to grievances in natural resource/forests?

- a. Environmental
- b. Legal
- c. Social
- d. Economical
- e. Institutional/organisational
- f. Political

2. Are you aware of REDD+ mechanism in nature resource/forestry sector?

- a. Fully aware of REDD+ architecture
- b. Aware of REDD+ to the extent it is applied in the country
- c. cursory awareness only

3. How effective can REDD+ actions be in natural resource/forestry to mitigate climate change risks?

- a. Good
- b. Satisfactory
- c. Poor
- d. Not sure

4. Have you participated in REDD+ program till date?

- a. Not participated in REDD+ activities
- b. Attend meeting of REDD+ regularly but not speak
- c. Attend meeting of REDD+ regularly and engage in discussion
- d. Attend meeting and take part in decision making

5. Are you aware of any existing grievance related to REDD+ program mentioned below?

- a. Grievance due to lack of information/participation
- b. Grievance due to benefit sharing
- c. Grievance due to REDD program and policies
- d. Grievance due to FPIC
- e. Grievance due to right to the land
- f. Grievance due to unequal access to forest resources
- g. Grievance due to exclusion

6. Which grievance redress mechanisms you prefer for the resolution of REDD+ grievances?

- a. Prefer informal dispute resolution
- b. Prefer formal dispute resolution

7. Are you aware of existing informal grievance redress mechanisms to resolve grievances in natural resource/forestry?

If yes name these mechanisms

8. What are the existing formal grievance redress mechanisms to resolve grievances/conflicts in natural resource/forestry?

Name the various dispute/grievance systems

9. Are you satisfied with the process and decision of the informal grievance redress mechanism?

- a. Fully satisfied: Reasons of satisfaction?
- b. Partially satisfied: Reasons of partial satisfaction?
- c. Not satisfied: Reasons of dissatisfaction?

15 10. Are you satisfied with the process and verdict of the formal grievance redress mechanism?

- a. Fully satisfied: Reasons of satisfaction?
- b. Partially satisfied: Reasons of partial satisfaction?
- c. Not satisfied: Reasons of dissatisfaction?

11. What are the barriers for going to formal court?

- a. Too far away
- b. Too complicated/unfamiliar
- c. Too expensive
- d. Outcome does not provide a workable solution
- e. Not culturally appropriate
- f. Takes too long

12. What means of communication you prefer to register/process grievances?

- a. Email/letter
- b. Representative individual/organization
- c. Phone
- d. Direct meeting
- e. Proactive outreach

13. What are the grievance redress mechanisms followed for resolving natural resource/forest related grievances at local level?

- a. Settlement of the conflict/grievance through application of forest act and rules
- b. Litigation through the court of justice
- c. Grievance redressal mechanisms at local level

14. What can be a suitable institutional arrangement for a FGRM to address forestry grievances in Bhutan?

- a. A centralized cell in Thimphu to receive and dispense all grievances.
- b. A hierarchical system starting from geog to national level.

15. What role you expect to discharge/play in the proposed Feedback and Grievance Redress Mechanism for REDD+

Provide short narrative not more than two sentences

16. How was the general trend and frequency of forest/natural resource grievances in the country in the past?

- a. Very frequent
- b. Infrequent
- c. Rare

17. What was the nature and pattern of conflicts in the past?

- a. Economic
- b. Social
- c. Criminal
- d. Others (specify)

18. How is the trend and frequency of the forest/natural resource conflicts in the country now?

- a. Very frequent
- b. Infrequent
- c. Rare

19. What is the nature and pattern of conflicts now?

- a. Economic
- b. Social
- c. Criminal
- d. Others (specify)

20. What leads to natural resource conflicts in Bhutan?

- a. Poverty
- b. Greed
- c. Mischief
- d. Others (specify)

21. Who were/are the opposing parties in such conflicts?

- a. One villager with another
- b. Villager with Forestry Official
- c. Villager with CFMG
- d. Others (specify)

22. What are the stakes/vested interests in the conflict?

- a. Illegally felling timber for domestic use
- b. Illegally fell timber for commercial sale
- c. Illegally collect NTFPs for domestic use or commercial sale
- d. Unauthorized extraction of forest produce from community forests by members/others
- e. Other general forest resource use/abuse cases

23. How have natural resource conflicts evolved over time in numbers and nature?

- a. Increase in villagers illegally take forest produce for domestic use
- b. Increase in villagers illegally take forest produce for commercial use
- c. Decrease in villagers illegally take forest produce for domestic use
- d. Decrease in villagers illegally take forest produce for commercial use
- e. Remained the same

24. What formal management responses are used to address forest/natural resource conflicts?

- a. Implement provisions of Forest Act and Rules
- b. Settle through courts of law
- c. Others (specify)

25. Which traditional conflict management responses are used to address forest/natural resource conflicts?

- a. Settled through the Gup's Office
- b. Settled through the village Tshogpa
- c. Others (specify)

26. Who are the winners from the GRM process?

- a. Government (Forestry)
- b. Villagers
- c. Villager complainant against another villager
- d. Others (specify)

27. Who are the losers from the GRM process?

- a. Government (Forestry)
- b. Villagers
- c. Villager complainant against another villager
- d. Others (specify)

28. How effective are/were these GRM responses in attaining the following?

- a. Fair justice
- b. Social equality
- c. Economic equality
- d. Sustainability

29. What was the impact of management responses to GRM on vulnerable groups (women, forest-dependent local communities, poor and vulnerable populations)?

- a. Enhanced the socio-economic benefit
- b. Reduced socio-economic benefit
- c. Socio-economic benefit maintained at same level
- d. Others (specify)

30. What impacts did these responses have on community cohesion and natural resource management?

- a. Led to communities being divided because of the decision
- b. Led to communities being unified because of the decision
- c. Did not lead to any change

31. What suggestions do you have on solutions for more socially equitable FGRM?

Suggest in not more than two sentences

32. Other suggestions, if any

Provide a short narrative in one paragraph

Note: The responses to the questions are expected in the form of ticking the options provided against each query or short narratives as justification and suggestions where needed. Where options have to be marked as responses to the questions, more than one option can be ticked when applicable.

Annexure 2 : List of the Participants for the FGRM Consultations

Eastern Region: List of Participants for the FGRM Consultation Workshop (Regional Level), Druk Deothjung Resort, Trashigang (7-8 October 2019)					
Sl/ No	Name	Designation	Agency	Email Id	Contact #
1	Phub Dorji	ADAO	Mongar	phubdorji@mongar.gov.bt	17873164
2	Chorten Gyeltshen	DAO	Samdrup-jongkhar	chortengyeltshen@samdrup-jongkhar.gov.bt	17668400
3	Chophel	ADLO	Samdrup Jongkhar	chophel@samdrupjongkhar.com	17647874
4	Tashi Phuntsho	DAO	Pemagatshel	tphuntsho@pemagatshel.gov.bt	17931522
5	Tenzin Dorji	DLO	Mongar	dorjit@mongar.gov.bt	17682162
6	Wangchuk	Sr. DPO		Wangchuk@samdrupjongkhar.gov.bt	17801734
7	Tshering Phuntsho	Trade officer		tsheringp@moea.gov.bt	1780216
8	Phurba Tshering	ADLO	Lhuentse	phurbat@moaf.gov.bt	17681429
9	Sonam Jamtsho	Sr. Forestry Officer		Sonamtara2011@gmail.com	17875698
10	Chaten	Forestry Officer		chaten@moaf.gov.bt	17487674
11	Phurpa	Forestry Officer		phurba@moaf.gov.bt	77391734
12	Tshering Phuntsho	Sr. FR		tsheringpuns@gmail.com	17703007
13	Sonam Phuntsho	ADAO		chezangk@gmail.com	17700688
14	Ashok Gurung	Furniture House	Mongar	Poju97@gmail.com	17611486
15	Tashi Gyeltshen	Offtg Environment Officer	Lhunetse	tgyeltshen@lhuentse.gov.bt	17781551
16	Tshering Dorji	Land Registrar	Mongar	tsheringdorji@mongar.gov.bt	17912331
17	Ugyen Wangdi	Land Registrar	Lhuentse	uwangdi@lhuentse.gov.bt	17260708
18	Ugyen Tshering	Land Registrar	Samdrup Jongkhar	utshering@samdrupjongkhar.gov.bt	17787813
19	Tshewang Dargay	NRDCL	Mongar	dargay14@gmail.com	17700162
20	Tek Bahadur Tamang	Marketing Assistant		tbtamang@moaf.gov.bt	17807190
21	Norbu Wangdi	Dy CFO	Mongar	nwangdi@moaf.gov.bt	17707294
22	Sonam Jamtsho	Sr. Forester		sonamdupthop@gmail.com	17946006
23	Sonam	Sr. Surveyor		sonamsyr@gmail.com	17603899
24	Jigme Tenzin	Sr. Land Registrar	Pemagatshel	jtenzin@pemagatshel.gov.bt	17654529
25	Ugyen Tshering	Sawmill owner		-	17682356
26	Leki Tenzin	Engineer		lekitemzino@gmail.com	17407513
27	Sonam Tobgay	Dy EE		sonamtobgay@mowhs.gov.bt	17686233
28	Thinley Rabten	DLO	Pemagatshel	trabten@Pemagatshel.gov.bt	17618970
29	Tshering Dendup	Sr. FO		Tsheringdendup@moaf.gov.bt	17810956

30	Pema Tenzin	Sr. FR		Pm_tenzin@moaf.gov.bt	17892159
31	Dorji Dema	Environmental Officer	Trashiyangtse	Dorjid@trashiyangtse.gov.bt	17583415
32	Nidup Dorji	Assistant Manager, SMCL	Samdrup-jongkhar	Nidupdorji1989@gmail.com	17665647
33	Pema Tshomo	M/I, DGM		tshomopema@gmail.com	17845653
34	Jigme Dorji	DGM	Mongar	jigmed@moea.gov.bt	17677982
35	Sangay Wangmo	FR I		S_wangmo51@yahoo.com	17665319
36	Yeshi Choden	FR II		Ychoden6624@gmail.com	17774081
37	Pema Lhatsho	Sr. Fr		plhatsho@yahoo.com	17740931
38	Chhimi Wangchuk	Environmental Officer, Trashigang		cwangchuk@trashigang.gov.bt	17652086
39	Pema Wangda	Sr. FR II		pewangdra@gmail.com	17887271
40	Sangay Zangmo	Dz LR		sangayz@trashigang.gov.bt	17525825
41	Dr. Jigme Tenzin	Dy CFO	WMD	jtenzin@moaf.gov.bt	17562548
42	Kuenga Lhazey	PSO	WMD	kuengalhazey@gmail.com	17972002
43	Dorji Gyeltshen	Sr. FO	WMD	Dgyeltshen20004@gmail.com	17677604
44	KB Samal	Consultant	RC Consultancy	kbsamaja@gmail.com	17645262
45	Saroj K. Nepal	Consultant	RC Consultancy	Sknepal68@gmail.com	17624568
46	Dorji Rinchen	Consultant	RC Consultancy	khenrig@gmail.com	17110716
47	Nim Dorji	Driver	WMD	Nidupdorji92@gmail.com	17966452

Eastern Region: List of the Participants for the FGRM Consultation Workshop (Local Level), Druk Deothjung Resort, Trashigang (9-10 October 2019)

Sl/ No	Name	Designation	Village	Geog/Dzongkhag	Contact #
1	Lekzang	NWFP Chairman	Ngatshang	Ngatshang, Mongar	17608055
2	Kezang Wangdi	CF Chairman	Drametse	Drametse, Mongar	17303156
3	Dorji Tenzin	NWFP Chairman	Ajayney	Shermuhung, Mongar	17681380
4	Sonam Rinzin	CF Chairman	Chaskhar	Chaskhar, Mongar	17904698
5	Kinzang Dema	Tshogpa	Tsamang	Tsamang, Mongar	17529910
6	Tshering Yangdon	Tshogpa	Bakafai	Balam, Mongar	77461786
7	Sonam Yangchen	CF member	Barshong	Khaling, Trashigang	77745534
8	Ugyen Choden	CF Treasurer	Barshong	Khaling, Trashigang	17350952
9	Sangay Thinley	CF Chairman	Shermuhung	Shermuhung, Mongar	17705816
10	Dorji Wangdi	CF Chairman	Tsenekhar	Shermuhung, Mongar	17972366
11	Choekay Dorji	CF Chairman	Ngalimang	Bumdeling, Trashiyangtse	17834398
12	Tshewang Rinzin	CF Chairman	Beksamang	Bumdeling, Trashiyangtse	17567263
13	Phuntsho	CF Chairman	Longkhar	Bumdeling, Trashiyangtse	16935269
14	Chogyal	Tshogpa/NWFP	Gonpong	Shumar, Pemagatshel	17703120
15	Ugyen Dorji	Gup	Norbugang	Norbugang, Pemagatshel	17681768
16	Threnag Wangdi	CF Chairman	Wangchilu	Nanong, Pemagatshel	17811667

17	Tashi Dendup	Gup	Chaling	Chaling, Mongar	17848687
18	Cheni Dorji	CF Chairman	Gonpo Singma	Zobel, Pemagatshel	17246970
19	Chedup	CF Chairman	Resna	Zobel, Pemagatshel	17777955
20	Chogyal Wangdi	CF Chairman	Gamung	Shumar, Pemagatshel	17286069
21	Yeshe Wangdi	Gup	Chimung	Chimung, Pemagatshel	17803611
22	Tsheten Wangdi	Gup	Peladraphu	Tsaenkhar, Lhuentse	17693212
23	Gembo	Gup	Bagar	Meadtsho, Lhuentse	17854657
24	Changa	Gup	Bamcholing	Thangrong, Mongar	17722128
25	Tshering Dorji	Tshogpa	Dromashong	Menbi, Lhuentse	17754425
26	Sonam Tobgay	Tshogpa	Gangla	Khoma, Lhuentse	17244427
27	Tashi Yangden	CF member	Samkhar	Samkhar, Trashigang	17730651
28	Sherab Dema	CF Chairman	Samkhar	Samkhar, Trashigang	17659898
29	Karma	NWFP Chair- man	Autsho	Tsenkhar, Lhuentse	17581262
30	Tashi Tobgay	CF Chairman	Ngar	Gangzur, Lhuentse	17883218
31	Sonam Thinley	CF/NWFP mem- ber	Bepang	Uzorong, Trashigang	17915021
32	Kelzang Namgyel	CF member	Bepang	Uzorong, Trashigang	17657082
33	Tarabir Bista	Gup	Domsagang Toed	Samrang, Samdrupjongkhar	17887005
34	Kishor Rai	Tshogpa	Nangtshothang Maed	Samrang, Samdrupjongkhar	17947324
35	Jigme	Gup	Chongti	Orong, Samdrupjongkhar	17968739
36	Dorji Norbu	Tshogpa	Ramung	Orong, Samdrupjongkhar	17708908
37	Tenzin Wangda	Gup	Ramjar	Ramjar, Trashiyangtse	17682318
38	Phuntsho Wangdi	Mangmi	Toetsho	Trashiyangtse	17437990
39	Dorji Singye	Secretary	Woling	Orong, Samdrupjongkhar	17875323
40	Norbu	Secretary	Remong	Orong, Samdrupjongkhar	17878759
41	Tenzin Phuntsho	Tshogpa	Yalang	Trashiyangtse	17853276
42	Tashi Dorji	Tshogpa	Wongborang	Dungmaed, Pemagatshel	77231228
43	Sangay Dorji	Tshogpa	Yurung	Yurung, Pemagatshel	17859772
44	Tenzin Jamtsho	Secretary	Barzuca	Lumang, Trashigang	17788938
45	Tawpo	CFMG Secretary	Tshatse	Nanong, Pemagatshel	17720788
46	Tshewang Peldon	CFMG	Yangtse	Yangtse, Trashiyangtse	17437877
47	Yenten Zangmo	CFMG	Yangtse	Yangtse, Trashiyangtse	17979586
48	Yeshe Choden	CFMG	Samkhar	Samkhar, Trashiyangtse	17678772
49	Dechen Wangdi	CFMG	Dongshong	Gomdar, Samdrupjongkhar	77827473
50	Sangay Thinley	CFMG Chair- man	Sachhelu	Wangphu, Samdrupjongkhar	17698097
51	Ugyen Tshering	CFMG Secreatry	Chidungkhar	Gomdar, Samdrupjongkhar	17362949
52	Lobzang	CF Chairman	Sachelu	Wangphu, Samdrupjongkhar	17948565
53	Dorji Tashi	Driver	Chaling	Chaling, Mongar	77981393
54	Dr. Jigme Tenzin	Dy CFO, WMD	jtenzin@moaf. gov.bt	-	17562548

55	Kuenga Lhazey	PSO, WMD	kuengal-hazey@gmail.com	-	17972002
56	Dorji Gyeltshen	Sr. FO, WMD	Dgyeltshen20004@gmail.com	-	17677604
57	KB Samal	Consultant	kbsamaja@gmail.com	-	17645262
58	Saroj K. Nepal	Consultant	Sknepal68@gmail.com	-	17624568
59	Dorji Rinchen	Consultant	khenrig@gmail.com	-	17110716
60	Nim Dorji	Driver, WMD	Nidupdorji92@gmail.com	-	17966452

Central Region: List of the Participants for the FGRM Consultation Workshop (Regional Level), Kuku Grand, Gelephu (13-14 November 2019)

Sl/ No	Name	Designation	Agency	Email Id	Contact #
1	Tenzin	Sr. FR I	WCNP	tenzin@moaf.gov.bt	17692987
2	Tsheten Dorji	Sr. FR I	Tsirang Division	tshetend@moaf.gov.bt	17647670
3	Sonam dorji	Offtg Environment officer	Trongsa	sonamdorji@trongsa.gov.bt	17177262
4	Dr. Dawa Yangka	DVO	Trongsa	dyangka@moaf.gov.bt	17253297
5	KB Samal	Consultant	WMD	ksamaja@yahoo.com	17645262
6	Sangay Wangmo	Environment Officer	MHPA	sangaynorden@gmail.com	17555289
7	Jambay Gyeltshen	Sr. FR	Dagana	jgyeltshen@dagana.gov.bt	17652198
8	Kinley Namgay	Offtg DAO	Dagana	kinleynamgay@moaf.gov.bt	77389191
9	Sonam Phuntsho	LRO	Dagana	sphuntsho@dagana.gov.bt	17748907
10	Karma Dorji Jimba	DEO	Dagana	Karmadorji1@dagana.gov.bt	77374069
11	Gembo Jampel	SE	BPC	gempootuh@gmail.com	17944473
12	Karma Chewang	DCDAO	DAT, Trongsa	kchewang@trongsa.gov.bt	17615112
13	Phuntsho	Sr. DAO	Zhemgang	phuntsho@zhemgang.gov.bt	17366139
14	Narayan Galley	Project Officer	RSPN	nghalley@rspnbhutan.org	17493732
15	Sona Dema	LRA	Land Record	xonamdeay22pinkg@gmail.com	17857080
16	Galay Jamtsho	Sr. ES	Livestock, Tsirang	Galayjamtsho80@gmail.com	1767464
17	Dorji Wangdi	Environment officer	Tsirang	-	17807474
18	Dorji Gyeltshen	DAO	Tsirang	dorjigyeltshen@tsirang.gov.bt	17612857
19	Ugyen Tshewang	HPO	Bumthang	utshewang@moaf.gov.bt	17645551
20	Chenga	Land Inspector	Bumthang	Dangwangsay45@gmail.com	-

21	Namgay Om	Offtg environ-ment Officer	Bumthang	nom@bumthang.gov.bt	17549928
22	Tshering N Penjor	DAO	Bumthang	tnpenjor@bumthang.gov.bt	17774454
23	Pratap Singh Rai	Field Officer	Sarpang	Pratap001r@gmail.com	17501707
24	Phuntsho Namgay	Forestry officer	Wangdue For-est Division	namgayphuntsho@moaf.gov.bt	17342928
25	Thukten Yonten	FR	Zhemgang For-est division	thukiyoenten@gmail.com	17787295
26	Ugyen Dorji	EE	DoR Sarpang	udorji@mowhs.gov.bt	17695244
27	Tsheeliu	DGM	M/I	tsheeliu243@gmail.com	17641541
28	Tandin Wangchuk	FR I	PNP	twangchuk50@yahoo.com	17337038
29	Tshering Dorji	FO	RMNP	tsheringdorji@moaf.gov.bt	17775540
30	Jamtsho	Sr. FR	JSWNP	Jamtsho1@moaf.gov.bt	17537180
31	Leki khandu	Land Registrar	Trongsa	lkhandu@nlcs.gov.bt	17766978
32	Ugyen Namgyal	BL Fozel	BFD	u_namgyal@hotmail.com	17583902
33	Karma Drukpa	RD	RTIO	kdrukpa@moea.gov.bt	17693391
34	Tshering Dorji	FO	Sarpang Forest Division	Tsheringdorji1@moaf.gov.bt	17769540
35	Kencho Tshering	ADLO	DAW	Kenchotshering73@yahoo.com	17692548
36	Dhodo	DAO	Wangdue	dhodo@wangduephodrang.gov.bt	17122401
37	Pema Wangchuk	DLO	Dagana	pwangchuk@dagana.gov.bt	17684400
38	Saroj K Nepal	Consultant	RC Consultancy	Sknepal68@gmail.com	17624568
39	Dorji Rinchen	Consultant	RC Consultancy	khenrig@gmail.com	17110716
40	Kinga Norbu	FO	PWS	kingan@moaf.gov.bt	17903174
41	Nim Dorji	Driver	WMD	nimdorji@gmail.com	17966452
42	Kuenga Lhazey	PSO	WMD	kuengalhazey@gmail.com	17972002
43	Dorji Gyeltshen	Sr. FO	WMD	Dorjigyeltshen20004@gmail.com	17677604
44	Dr. Jigme Tenzin	Dy CFO	WMD	itenzin@moaf.gov.bt	17562548

Central Region: List of the Participants for the FGRM Consultation Workshop (Local Level), Kuku Grand, Gelephu (15-16 November 2019).

Sl/ No	Name	Designation	Village	Geog/Dzongkhag	Contact #
1	Migma Dorji Tamang	CF secretary/ NWFP Chairman	Kencholing	Sumj pangkha, sarpang	77489648
2	Sonam Tenzin	CF Chairman	Tamzhing	Chokhor, Bumthang	17670004
3	Pema Gyamtsho	CF Chairman	Jalikhhar	Thromde, Bumthang	17732654
4	Leki	Tshogpa	Khayrab	Tang, bumthang	77680198
5	Kuenzang Norbu	CF Chairman	Nangar	Chumey, Bumthang	17605304
6	Pema Lhamo	Mangmi	Nubi	Nubi, Trongsa	17713136
7	Namgay Lhendup	Tshogpa	Nubi	Nubi, Trongsa	77406833
8	Dawa Zam	Tshogpa	Phangyul	Phangyul, Wangdue	17366615
9	Sonam Dema	Tshogpa	Wangchey	Jena, Wangdue	17943630

10	Rinchey Penjor	Gup	Sephu	Sephu, Wangdue	17125929
11	Pemba	Gup	Dangchu	Dangchu, Wangdue	17769433
12	Dawa Tshering	CF chairman	Nabisa	Nahi, Wangdue	77775520
13	Nidup Dorji	Tshogpa	Zinchilla	Tshangkha, Dagana	17966493
14	Tshering	Mangmi	Langthel	Langthel, Trongsa	17782904
15	Yeshey	Gup	Mendrelgang	Mendrelgang, Tsirang	17715695
16	Bal Krishna	CF chairman	Tsholingkar	Tsholingkar, Tsirang	17877691
17	Ugyen Wangmo	Tshogpa	Mendrelgang	Mendrelgang, Tsirang	17515223
18	Santa Kumar Gurung	NWFP	Debitar	Lhamoizhingkha, Dagana	17817360
19	Surja Bdr, Limboo	Gup	Lhamoizh- ingkha	Lhamoizhingkha, Dagana	17368242
20	Dhan Bdr. Gurung	Gup	Lajab	Lajab, Dagana	17762445
21	Chencho	CF chairman	Langthel	Langthel, Trongsa	77365231
22	Ash Bdr. Tamang	Tshogpa	Manglabari	Nichla, Dagana	77609370
23	Chabilal Ghimiri	CF secretary	Layul	Chuzong, Sarpang	17961716
24	Yeshey Nidup	CF chairman	Tshangkha	Tangsibji, Trongsa	17715064
25	Ugyen Palden	Cf chairman	Yulling	Nubi, Trongsa	17677199
26	Dawa Tshering Tamang	CF chairman	Rangthaling	Rangthaling, Tsirang	17607992
27	Kharka Singh Chettri	CF chairman	Sungkosh	Rangthaling, Tsirang	17792921
28	Deo Bdr. Mafchan	CF chairman/ Tshogpa	Tashilingmey	Semdzong, Tsirang	17979695
29	Amber Kumar Gurung	CF chairman	Serphugang	Jigmecholing, Sarpang	17855414
30	Sonam Tshering	Tshogpa	Gaytsa	Chumey, Bumthang	17535899
31	Lhaden	Tshogpa	Nimshong	Korphu, Trongsa	17311353
32	Choden	CF chairman	Drukjegang	Drukjegang, Dagana	17702871
33	Sangay	CF chairman	Geysarling	Geysarling, Dagana	17513615
34	Pema Choden	CF secretary	Geysarling	Geysarling, Dagana	77794803
35	NK Lama	Manager, Gyeltsehn Furni- ture house	Gelephu	Gelephu, sarpang	77302626
36	Khandu Wangchuk	Gup	Dogchi	Ura, Bumthang	17341959
37	Pema Duengyel	Gup	Tamshing	Chokhor, Bumthang	17670631
38	Man Bdr. Rai	Gup	Sergithang	Sergithang, Tsirang	17839392
39	Rinchen Tshomo	CF member	Chungphel	Chumey, Bumthang	17243449
40	Kinzang Deki	Tshogpa	Tama	Trong, Zhemgang	17341231
41	Ugyen Dema	Tshogpa	Gomphu	Trong, Zhemgang	17746072
42	Wangang	Gup	Gomphu	Trong, Zhemgang	17856759
43	Kinzang Jurmey	Gup	Bardo	Bardo, Zhemgang	17704755
44	Saroj K Nepal	Consultant	Thimphu	Thimphu	17624568
45	Dorji Rinchen	Consultant	Thimphu	Thimphu	17110716

46	KB Samal	Consultant	Thimphu	Thimphu	17645262
47	Kuenga Lhazey	PSO, WMD	Thimphu	Thimphu	17972002
48	Nim Dorji	Driver, WMD	Thimphu	Thimphu	17966452
49	Dorji Gyeltshen	Sr. FO	Thimphu	Thimphu	17677604
50	Dr. Jigme Tenzin	Dy CFO	Thimphu	Thimphu	17562548
Western Region: List of the Participants for the FGRM Consultation Workshop (Regional Level), Tashi Namgay Grand, Phuentsholing (22-23 November 2019)					
I/No	Name	Designation	Agency	Email Id	Contact #
1	KB Gurung	DLO	Thimphu	kbgurung@thimphu.gov.bt	17653202
2	Sonam Zangmo	DAO	Thimphu	sonamz@thimphu.gov.bt	17706913
3	Kipchu	CPO	Haa	kipchu@nwaj.gov.bt	17634773
4	Tashi Wangchuk	ADAO	Haa	tashiwangchuk@gov.bt	17888669
5	Tshethrim Dorji	CO	APIC, MoEA	Dt.tshethrim@gmail.com	17545845
6	Pelden Wangchuk	LRA	Haa	Pelden1987@gmail.com	17813143
7	Wangdi	Sr. FR I		kelwangslsgay@gmail.com	17623664
8	Jigme Wangchuk	FO	Tarayana Foundation	jwangcuk@gmail.com	77232057
9	Pema Gyeltshen	Sr. FR	Gedu Forest Division	rackchigelsen@gmail.com	17679316
10	Sherab Tenzin	DCDCO	Chhukha	stenzin@chukha.gov.bt	17626693
11	Gyem	Land Registrar	Chhukha	gyem@chhukha.gov.bt	17653106
12	Chencho Nedup	Surveyor	Gasa	cnedup@nlcs.gov.bt	17111714
13	Thinbley Jamtsho	DLO	Gasa	thinleyj@gasa.gov.bt	17129565
14	Tshering Dorji	MI	DGM	tsheringdorji3535@gmail.com	17751585
15	Tshering Dorji	FR	JDNP	Tsheringydorji89@gmail.com	17722864
16	Sangay Norbu	Environmental Officer	Chhukha	snorbu@chhukha.gov.bt	17454638
17	Tshering Wangchuk	Environment Officer	Gasa	tsheringwangchuk@gasa.gov.bt	17139229
18	Sonam	MI	DGM	sangsonam57@gmail.com	17599814
19	Saha Bir Rai	Dy. CDAO	Chhukha	sahabirrai@chhukha.gov.bt	17731886
20	Lhap Tshering	Tech Advisor	BAOWE	ltshering3197@gmail.com	17794579
21	Karma Lhuntshi	Consultant	RC Consultancy	klhuntshi@gmail.com	17662952
22	Lungten Norbu	Specialist	RSPN	lnorbu@rspnbhutan.org	17636495
23	Karma Wangchuk	Sr. DAO	Gasa	karmaw@gmail.com	16288120
24	Karma Dorji	Sr. DLO	Samtse	Karma dorji011@gmail.com	17740307
25	Phurba Dukpa	Sr. FR	Samtse Forest Division	Psha_2011@yahoo.com	17874244
26	Langa Dorji	Environment Officer	Samtse	ldorji@samtse.gov.bt	17678473
27	Chogyal Norbu	DAO	Samtse	chogyalnorbu@samtse.gov.bt	17623673
28	Dhurba Giri	Sr. TO	MoEA	dgiri@moea.gov.bt	17829595
29	Jigme T Wangyal	Dy. Chief	JKSNR	jigmewangyal@gmail.com	17691215
30	Chimi Dorji	Head, HR &A	THP	c.dorji707@drukgreen.bt	17246897

31	Sigyel Dema	CFO	WMD	sdelma@moaf.gov.bt	17617321
32	Dr. Jigme Tenzin	Dy CFO	WMD	jtenzin@moaf.gov.bt	17562548
33	Dorji Gyeltshen	Sr. FO	WMD	Dorjigyeltshen20004@gmail.com	17677604
34	Kuenga Lhazey	PSO	WMD	kuengalhazey@gmail.com	17972002
35	Nim Dorji	Driver	WMD	nimdorji@gmail.com	17966452
36	KB Samal	Consultant	RC Consultancy	kbsamaja@gmail.com	17645262
37	Dorji Rinchen	Consultant	RC Consultancy	khenrig@gmail.com	17110716
38	Lobzang Dorji	Director	DoFPS	-	-
39	Tshering Penjor	Director Driver	DoFPS	-	-
39	Ugyen Dema	Sr. Extension	WMD	-	17793667
40	Kinley Dem	Sr. FR	WMD	-	17548545

Western Region: List of the Participants for the FGRM Consultation Workshop (Local Level), Tashi Namgay Grand, Phuentsholing (24-25 November 2019)

Sl/ No	Name	Designation	Village	Geog/Dzongkhag	Contact #
1	Sangay Wangdi	CF chairman	Dawakha	Dawakha, Paro	17690675
2	Tandin Wangyel	CF secretary	Dawakha	Dawakha, Paro	17638308
3	Namgay	CF network	Chokar	Kawang, Thimphu	17660577
4	Tshering Dorji	CF chairman	Dalokha	Mewang, Thimphu	17675451
5	Namgyel dorji	DLR		Punakha	17686662
6	Dechen Pemo	CF chairman	Khasadrupchu	Mewang, Thimphu	17917275
7	Kencho Tshering	CFMG/NWFP	Izamtho	Gene, Thimphu	17301182
8	Kinley Wangyel	NWFP	Tshetena	Kabisa, Punakha	17810411
9	Chencho	CF chairman	Damchi	Kebisa, Punakha	17661250
10	Sherab Dorji	CF chairman	Lemjikha	Tebisa, Punakha	17745235
11	Damcho Wangc-hula	CF chairman	Damji	Khamaed, Gasa	17696828
12	Ugyen Tshering				
13	Lhaba	CF chairman	Dungcho	Yuesu, Haa	17629667
14	Dorji	CF chairman	Balam	Samar, Haa	17778992
15	Roma Ghalley	CF secretary	Thonla	Norbugang, Samtse	77291140
16	Bhadra man Ghalley	CF secretary	Namsaling	Shagacholing, Samtse	77452842
17	Chandra Bdr. Ghalley	CF chairman	Neduplingka	Shagacholing, Samtse	77302989
18	Yonten Phuntsho	CF Treasurer	Wangtsa	Katso, Haa	77814736
19	Phub Tshering	Tshogpa	Sherbu	Darla, Chhukha	17995651
20	Karma Chencho	CF chairman	Jagathang	Lango, Paro	77712952
21	Dawa Gyem	Tshogpa	Lomeykha	Chapcha, Chhukha	17664112
22	Pasang Dema	CF accountant	Tsephu	Tewang, Punakha	17735803
23	Dorji Zam	CF accountant	Nobgang	Talo, Punakha	17705506
24	Sonam Gyamtsho	CF chairman	Pakshikha	Bongo, Chhukha	17457492
25	Om Prasad Ghalley	CF chairman	Nimaling	Samtse	17895307

26	Samten Phuntsho	Gup	Zhegana	Zhegana, Punakha	17618365
27	Lhamo Sherpa	CF chairman		Sampheling, Chhukha	17320346
28	Tatamo	CF chairman	Dhugena	Chukha	
29	Dago Pema	Tshogpa	Chamgang	Dagala, Thimphu	77746664
30	Bangum	Tshogpa	Gyeltala	Thimphu	17646953
31	Tshewang Tobgay	Gup	Dorikha	Samar, Haa	17963054
32	Phub Tshering	Tshogpa	Katsho	Haa	17337200
33	Lhakpa Tshering	Gup	Laya	Laya, Gasa	17335168
34	Kinley Penjor	Gup	Khamey	Khamey, Gasa	16288333
35	Touechu	Gup	Toeyab	Toeyab, Punakha	17672653
36	Samir Giri	Gup	Tashicholing	Tashicholing, Samtse	17623864
37	Ganga Prasad Limboo	Gup	Yoedseltse	Yoedseltse, Samtse	77316377
38	Pasang Dorji	Tshogpa	Punakha	Kabesa, Punakha	17519921
39	Tashi Dema	Tshogpa	Thinleygang	Punakha	17712265
40	Pratima Gurung	Tshogpa	Phuntshopelri	Samtse	17569911
41	Gopal Ghalley	Tshogpa	Nimaling	Samtse	77233298
42	Namgay	Tshogpa	Khamey	Khamey, Gasa	17408269
43	Indra m Lal Ghalley	Gup	Logchina	Logchina, Chhukha	77626227
44	Singay	Tshogpa	Logchina	Logchina, Chhukha	17525787
45	Sherab Lham	Mangmi	Hungrel	Hungrel, Paro	17508940
46	Chencho Gyeltshen	Mangmi	Tsento	Paro	17394376
47	Gem Dorji	Mangmi	Lango	Paro	17665532
48	Passang	Mangmi	Wangchang	Paro	17612620
49	Tashi Pelden	Adm	Dopshari	Paro	17552617
50	Karna Guen	Gup	Guen	Gasa	17615263
51	Ugyen	Tshogpa	Wang	Chang	17613231
52	Tobgay	Gup	Chapcha	Chhukha	17761978
53	Dawa Gyelmo	Tshogpa	Lobnekha	Chapcha, Chhukha	17664112
54	Chorten	Sr. Forester	Thimphu For- est Division	Thimphu	17645252
55	Ugyen Dorji	DLO	Punakha	Punakha	17653574
56	Sonam Wangchuk	DBO	Punakha	Punakha	17701329
57	Gyeltshen	Tshogpa	Balamna	Samar, Haa	17867932
58	Kencho	Gup	Kajena	Katsho, Haa	17945823
59	Sharmila Rai	CF member	Lingden	Phuentsholing, Chhukha	77387034
60	Lobzang Dorji	Director	DoFPS		
61	Chandra man Rai	CF chairman	Lingden	Phuentsholing, Chhukha	17887755
62	Tshering Penjor	Director Driver			
63	Tshekhu Dorji	Tshogpa	Tsimakha	Chhukha	17745668
64	Sherab Jamtsho	FO	Paro Division	Paro	17708210
65	Naphel	Head	SFS	Haa	17666862
66	Dorji Gyeltshen	Sr. FO	WMD	Thimphu	17677604

67	Karma Lhuntshi	Consultant	RC Consultancy	Thimphu	17662952
68	Dorji Rinchen	Consultant	RC Consultancy	Thimphu	17110716
69	KB Samal	Consultant	RC Consultancy	Thimphu	17645262
70	Sigyel Dema	CFO	WMD	Thimphu	17617321
71	Kuenga Lhazey	PSO	WMD	Thimphu	17972002
72	Dr. Jigme Tenzin	Dy CFO	WMD	Thimphu	17562548
73	Ugyen Dema	Sr. Extension	WMD	-	17793667
74	Kinley Dem	Sr. FR	WMD	-	17548545

Annexure 3: Time table of Field Consultations

a) TIME SCHEDULE FOR FGRM REGIONAL CONSULTATION WORKSHOPS DURING OCTOBER-NOVEMBER 2019

Date	From	To	Remarks
1. Eastern Region (Venue: Trashigang)			
04/10/2019	Thimphu	Bumthang	Travel
05/10/2019	Bumthang	Trashigang	Travel
06/10/2019	Trashigang	Trashigang	In house preparation for workshops
07-08/10/2019	Trashigang	Trashigang	Two days workshop with stakeholders/participants from six eastern Dzongkhags
09-10/10/2019	Trashigang/Rangjung	Trashigang/Rangjung	Two days geog/community level focus group consultation meetings
11/10/2019	Trashigang	Bumthang	Travel
12/10/2019	Bumthang	Thimphu	Travel
2. Central Region (Venue: Gaylegphug)			
11/11/2019	Thimphu	Gaylegphug	Travel
12/11/2019	Gaylegphug	Gaylegphug	In house preparation for workshops
13-14/11/2019	Gelephug	Gelephug	Two days workshop with stakeholders/participants from six central Dzongkhags
15-16/11/2019	Gelephug (Geog)	Gelephug (Geog)	Two geog/community level focus group consultation meetings
17/11/2019	Gelephug	Thimphu	Travel
3. Western Region (Venue: Phuntsholing)			
21/11/2019	Gaylegphug	Punakha	Travel
22/11/2019	Phuntsholing	Phuntsholing	In house preparation for workshops
22-23/11/2019	Phuntsholing	Phuntsholing	Two days workshop with stakeholders/participants from eight western Dzongkhags
24-25/11/2019	Phuntsholing Geog)	Phuntsholing (Geog)	Two geog/community level focus group consultation meetings
26/11/2019	Phuntsholing	Thimphu	Travel

Note: Venues for Geog level focus group consultations will be finalised based on potential /relevant stakeholders from CFMG and other forest dependent communities in the areas to ensure wider participation.

b) REGIONAL WORKSHOP ON FEED BACK AND GRIEVANCE REDRESS MECHANISM FOR REDD+ PROGRAM OCTOBER 7-8 & NOVEMBER 13-14, 2019

Venue: Druk Deothjung Resort, Trashigang & Kuku Grand Hotel, Gayleghug

Participants: Relevant stakeholders from Regional Offices, Dzongkhag Administration, NGOs, CSOs and Private Organisations

WORKSHOP AGENDA

Objectives of the Workshop:

1. Define and fine tune the goal, scope and objectives for the Feedback and Grievance Redress Mechanism for REDD+ program implementation in Bhutan taking into account broad based stakeholders' perspectives
2. Document current and potential future conflicts and grievances in REDD+ activities and existing formal and informal grievance redress systems adopted by stakeholders/parties to address these conflicts and disputes.
3. Recommend the most pragmatic and effective FGRM from the existing systems or a new mechanism to respond to all types of REDD+ grievances and identify roles and responsibilities of all stakeholders in the development and implementation of the most viable FGRM for REDD+.

DAY ONE		
Time	Item	Facilitators
9.30 – 10.00 AM	Registration	WMD
10.00 – 10.10 AM	Welcome & Objective of the Workshop	CFO, WMD
10.10 – 10.40 AM	Brief Background on REDD+ in Bhutan and progress to date and linkage to FGRM development	REDD+ Focal Officer, WMD
10.40- 11.10 AM	Tea Break	
11.10 –12.00 AM	Setting the context: Presentation on proposed FGRM for REDD+ in Bhutan (the presentation should cover the rationale, study approach and methods, present scenario analysis and more importantly include tentative goal, objectives and scope of FGRM, as also the potential structure and implementation process)	NRM expert/Team leader
12.00 – 1.00 PM	Presentation on PLR review with focus on regulatory, environmental and social context analysis for FGRM development in Bhutan	Legal/Social Expert
1.00-2.00 PM	Lunch break	
2.00 – 2.30 PM	Brief presentation on need and process of Questionnaire Survey for stakeholders to capture broad based perspective on REDD+ FGRM	Environmental Expert/Team leader
2.30 – 3.30 PM	Group Work	Whole team
3.30-4.00 PM	Tea break	
4.00 –4.50 PM	Presentation from group work and discussion (Plenary session)	-do-

4.50-5.00 PM	Wrap up for the day	
DAY TWO		
9.00 – 9.30 AM	Brief presentation on grievance drivers of REDD+, current and potential future grievances, existing formal and informal mechanisms to address them, effectiveness and efficacy of the systems	Social Expert/ Legal Expert/ Team leader
9.30-10.30 AM	Group work	Whole team
10.30-11.20 AM	Group work presentation and discussion (Plenary session)	-do-
11.20-11.50AM	Tea Break	
11.50 –1.00 PM	Brief presentation on proposed FGRM structure and implementation process with roles and responsibilities of relevant stakeholders	Team leader/ Other experts
1.00 – 2.00 PM	Lunch break	
2.00-3.00 PM	Group Work	Whole team
3.00 – 3.50 PM	Group work presentation and discussion (Plenary session)	-do-
3.50-4.20 PM	Tea break	
4.20 – 5.00 PM	Wrap up for the day and closing of the workshop	WMD

c) REGIONAL WORKSHOP ON FEED BACK AND GRIEVANCE REDRESS MECHANISM FOR REDD+ PROGRAM NOVEMBER 22-25, 2019

Venue: Tashi Namgay Grand, Phuentsholing

Participants: Relevant stakeholders from Regional Offices, Dzongkhag Administration, NGOs, CSOs and Private Organisations

WORKSHOP AGENDA

DAY ONE		
Time	Item	Facilitators
09.00 – 09.30 AM	Registration	WMD
09.30 – 09:45 AM	Welcome Remarks & Objective of the Workshop	Chief Forestry Officer, WMD
09.45 – 10.45 AM	Brief Background on REDD+ in Bhutan and progress to date and linkage to FGRM development	REDD+ Focal Officer, WMD
10.45– 11.15 AM	Tea Break and Photo session	
11.20 –12.00	Setting the context: Presentation on proposed FGRM for REDD+ in Bhutan (the presentation should cover the rationale, study approach and methods, present scenario analysis and more importantly include tentative goal, objectives and scope of FGRM, as also the potential structure and implementation process)	NRM expert/Team leader
12.00 – 13.00 hrs	Presentation on PLR review with focus on regulatory, environmental and social context analysis for FGRM development in Bhutan	Social Expert/Legal Expert
13.00-14.00 hrs	Lunch break	

14.00-15.30 hrs	Group Work Briefing PLR Group Work	Whole team
15.30-16.00 hrs	Tea break	
16.00-16.45 hrs	Presentation from group work and discussion (Plenary session)	-do-
16.45-17.00 hrs	Brief presentation on need and process of Questionnaire Survey for stakeholders to capture broad based perspective on REDD+ FGRM and filling up questionnaires individually	Environmental Expert/Team leader
DAY TWO		
09.00 – 09. 30 hrs	Brief presentation on grievance drivers of REDD+, current and potential future grievances, existing formal and informal mechanisms to address them, effectiveness and efficacy of the systems	Social Expert/Legal Expert/ Team leader
09.30 – 11. 00 hrs	Group work (Tea will be served group work)	Whole team
11.00 – 11. 45hrs	Group work presentation and discussion (Plenary session)	-do-
11.45 – 12. 00hrs	Brief presentation on proposed FGRM structure and implementation process with roles and responsibilities of relevant stakeholders	Team leader/Other experts
12:00 – 13:00 hrs	Group work on FGRM Structure	
13.00 – 14. 00hrs	Lunch break	
14.00 – 14. 30hrs	Group work continue and preparation for plenary	Whole team
14.30 – 15. 30hrs	Group work presentation and discussion (Plenary session)	-do-
15.30 – 16. 00hrs	Tea break	
16:00 – 17:00 hrs	Closing session of the Workshop <ul style="list-style-type: none"> - Brief background on FGRM and workshop - Remarks from Hon’ble Director - Vote of Thanks by Chief Forestry Officer 	

d) REGIONAL WORKSHOP ON FEED BACK AND GRIEVANCE REDRESS MECHANISM FOR REDD+ PROGRAM OCTOBER-NOVEMBER 2019

Venue: Trashigang/Gaylegphug /Phuntsholing

Participants: Local government officials and Community members from the Regions

WORKSHOP AGENDA

DAY ONE		
Time	Item	Facilitators
9.00 – 9.30 AM	Registration	WMD
9.30 – 9.45 AM	Welcome & Objective of the Workshop	WMD
9.45 – 10.45 AM	Brief Background on REDD+ in Bhutan and progress to date and linkage to FGRM development	REDD+ Focal Officer, WMD
10.45-11.00 AM	Discussion	
11.00- 11.30 AM	Tea Break	

11.30 –12.00 AM	Setting the context: Presentation on proposed FGRM for REDD+ in Bhutan	NRM expert/Team leader
12.00-12.10 PM	Discussion	
12.10 – 12.50 PM	Presentation on PLR review with focus on regulatory, environmental and social context analysis for FGRM development in Bhutan	Social Expert
12.50-1.00 PM	Discussion	
1.00-2.00 PM	Lunch break	
2.00 – 3.30 PM	PLR Group Work	Whole team
3.30-4.00 PM	Tea break	
4.00 –5.00 PM	Presentation from group work (plenary session)	Whole team
DAY TWO		
9.00 – 9.15 AM	Brief presentation on need and process of Questionnaire Survey for stakeholders to capture broad based perspective on REDD+ FGRM and filling up questionnaires	Environmental Expert/ Team leader
9.15-10.30 AM	Group Work	
10.30-11.00 AM	Tea break	
11.00 –11.30 AM	Brief presentation on proposed FGRM structure and implementation process with roles and responsibilities of relevant stakeholders	Team leader/Other experts
11.30-1.00 PM	Group work	
1.00 – 2.00 PM	Lunch break	
2.00-3.00 PM	Group work presentation and discussion (Plenary session)	Whole team
3.00 – 3.30 PM	Tea break	
3.30-4.00 PM	Wrap up for the day and closing of the workshop	WMD

Annexure 4: Problem Solving Model to address Conflicts

A.

A **problem solving** approach⁷ requires cooperation rather than competition. In a **problem solving** approach, the emphasis is on working together to overcome a **problem**. **Conflict** is thus not seen as a competition or a contest, and the people involved are encouraged to be collaborators rather than opponents

Principles of Problem solving Approach to Conflict Resolution

A problem solving approach to conflict can be particularly useful when working with groups, families and communities. The following are 12 principles that can help in adopting a problem solving approach to conflict.

1. Conflict is seen as a normal part of life. People often try to avoid conflict and see it as being destructive, painful or unconstructive. Conflict, however, can be seen as a normal part of life that is neither positive nor negative. What is important is how we **respond** to conflict. Conflict can actually encourage change and growth. If we deal with conflict before it becomes a crisis, it can be easier to resolve — so avoidance might not always be the best way forward.

2. A problem solving approach requires cooperation rather than competition. In a problem solving approach, the emphasis is on working together to overcome a problem. Conflict is thus not seen as a competition or a contest, and the people involved are encouraged to be collaborators rather than opponents. Although not all conflicts can be resolved in ways which everybody is totally happy, at least we might be able to agree to a process that will allow us to move forward.

3. It is important to respect the interests and needs of both yourself and the other party(s). A cooperative approach is more likely to be successful if the people involved don't just focus on what they want, but also consider what the other people want as well. A focus only on your own interests is less likely to lead to an outcome that everyone can accept.

4. The aim is to find an outcome that everybody involved can at least accept. In order to promote cooperation, the aim of a problem solving approach is to find an outcome everybody can accept; ideally a win/win. Although there are conflicts involving mutually exclusive needs, especially those involving limited resources, there are many situations where it is possible to find "win/win" solutions. Even if we might not be totally happy with the outcome, we might be able to accept it as fair or reasonable.

5. It can be helpful, particularly in the early stages, to focus on interests (or needs) rather than solutions (or positions). Conflict is more likely to be resolved if we start with a focus on interests or needs rather than solutions or positions. Whilst there are some deep-rooted human needs which cannot be compromised, by exploring the underlying needs and interests first, a number of solutions which satisfy everybody can often be found. Initial solutions or positions might be mutually exclusive, but once the underlying needs are explored, alternative solutions might be possible.

6. The role of communication in conflict is vital. A lot of conflict is the result of poor communication or miscommunication, and clear communication can assist in conflict resolution. Strategies such as i-messages and active listening can help promote clear communication.

7. Analysis is an important part of conflict resolution. An analytical approach can allow conflict to be approached in a rational and logical manner. Being clear about things such as the characteristics of the parties involved, their prior relationship, the nature of the issues involved, and the consequences of the conflict can make a big difference.

⁷ <https://sustainingcommunity.wordpress.com/2015/12/14/principles-of-conflict-resolution/>

8. Emotions are a vital part of conflict and need to be addressed. Even though a rational and logical approach helps, it is important to recognise that emotions also play a major role in conflict and cannot be ignored. Unless we address the emotional context of conflict, it may be very hard to proceed. For example, an apology often plays a very important role in moving forward.

9. Self-awareness helps one to respond effectively to conflict. If we are aware of things like how we react to conflict, how other people respond to us and our communication style, we are more likely to be able to respond positively to conflict. Self-awareness also help us to deal with hidden, underlying or unconscious aspects of conflict.

10. Conflict is not always easily resolved and we need to accept that not everybody uses a cooperative approach to conflict. This means it is important to explore ways of dealing with difficult situations and people. At time it may help to use a neutral third-party to help with mediation.

11. Despite problems or provocation, it helps to maintain a cooperative approach, to remain open to new possibilities and to seek a fair or just solution. Even when someone is acting in ways which makes it hard to resolve the conflict constructively, it can help if we remain caring and fair and see the other person as being worthy of care and justice. Sometimes a negative response can suggest that we need to pay more attention to the emotional context before moving on to try to address the other issues involved.

12. It helps to remain positive and optimistic. Even when things are going badly, we are more likely to be able to resolve the conflict successfully if we believe it can be done. By remaining positive and optimistic, possibilities can emerge that we might otherwise miss.

B. Overview of the Problem Solving Model (Moore, 2003)⁸

1. Establish relationship

Build personal credibility with introduction. Get rapport (feed-back) by pursuing personal style. Explain the process steps, and ask for feedback. Ask for commitment to the process.

2. Strategy selection Identify goals.

Identify possible dispute outcomes with problem solving based on trust, dependency, equal, high investment, positive future relationship. Select an approach based on cost, participation, time, future relationship of disputants. Seek commitment to approach.

3. Collecting and analyzing background information

Deconstruct stories to identify interests by reflective listening, open-ended questioning, entitlement question and approaching from the others perspective. Clarify information and review interests with parties.

4. Designing a mediation plan

Setup mediation room based on personality: table seating, atmosphere

Set a tentative agenda for the meetings process (time, get agenda items from disputants, with distinction in information-sharing items, discussion items and decision making items – also distinguish high/medium and low priority.

5. Building trust and cooperation

⁸ <http://www.free-management-ebooks.com/news/six-step-problem-solving-model/>
<https://asq.org/quality-resources/problem-solving>

Prepare disputants for strong emotions

Handle negative emotions: caucus, ground rules, encourage reframing by disputants, reflective listening, open ended-questions, identify positive historic emotions, avoid stereotyping, identify points in common

Make perceptual change: rewarding/punishing

Legitimacy of opponents' feelings/words: change wording, redefine issue, ask someone else to state legitimacy of issues.

Create trust: state ideal relationship with other party, how they think other party perceives interests.

6. Opening statements

Introduction, Explanation of model and benefits, Use metaphor for describing model, Develop rapport, Statement of impartiality and neutrality, Explanation of a caucus, Statement of confidentiality, Suggestions for ground rules, Securing commitment, Preview the session.

7. Defining issues and setting an agenda

Ask questions that externalize person from problem to map out influence

Ask open ended questions and reframing to translate into interest or identify larger goals. Summarizing Focus on relationship between parties

Build on interest that came from validated stories. Foster positive emotions and flexibility

Generate shared needs and common ground (shared meanings and shared interest)

8. Uncovering hidden interests

Focus on the evolution and impact of the conflict (cost). Focus on the time orientation.

Dissemble cultural constructs

Engage in interested oriented discussion, look at overall interest

Brainstorm to uncover hidden interests

Restate parties' interest and get conformation that you are correct.

9. Generating options for settlement

Raise awareness that multiple choices are possible

Help parties generate several options and seek for shared outcomes

10. Assessing options for settlement

Clarify with parties that options are doable

Define options that are substantive through brainstorming, hypothetical scenarios, looking in future, model agreements, package agreements. Access the costs and benefits of the options. Define the borders of each option

Gain commitments through 1) active listening, restating and summarizing for physiological needs and 2) gain commitment to explore settlement options

11. Final bargaining

Incorporate deadline in final agreement as necessary

Psychological closure – acknowledgment, apologies, ownership, validating.

Schedule follow up (if necessary)

Annexure 5

Grievance Redress Mechanism for Secondary Towns Urban Development Projects (STUDP) in Bhutan

1. Local grievance redress mechanism is important in the implementation of the proposed subproject since any complaint and concern of the affected people must be addressed promptly at no cost to the complainant and without retribution. This mechanism shall be disclosed in public consultations during detailed design and in meetings during the construction phase. Complaints about environmental performance of projects during the construction phase can best be handled by an ad-hoc committee at the local level where the subproject is located for expeditious resolutions to the complaints. Complaints during the operation phase can be brought to the attention of the MOWHS or National Environmental Commission Secretariat (NECS).

1. The Project Grievance Redress Mechanism (GRM) follows a tiered system, starting at the local level. The GRM structure has been agreed with the concerned agencies and the Grievance Redress Committee (GRC) composition have been provided by MOWHS and formalized through a government notification. The GRM will ensure that grievances and complaints regarding land acquisition, compensation and resettlement or other social and environmental issues will be addressed in a timely and satisfactory manner. People in the towns will be made aware of their rights and the detailed procedures for filing of grievances. PIUs will be undertaking outreach activities to make people aware of the GRM and will be published on the Thromde/ Dzongkhag and MOWHS websites. GRM will also be displayed at notice boards in the PIU offices.
2. First level of GRM. Aggrieved persons may first approach the contractor's site representative/ project manager in case of complaints related to construction related nuisances. The complaint must be recorded in the site register and contractor should provide a resolution to the complaint within 2 days. In case, the complaint is not resolved at this level, the aggrieved persons can then file a complaint with the PIU office. Aggrieved persons are entitled to lodge complaints regarding any aspect of the land acquisition, entitlements, benefits or rates of payment as well as any project related social or environmental issues. Complaints can be made verbally or in written form. Complaints made to the PIU should be resolved within 3 days. All complaints must be recorded by the PIU, including actions taken to resolve the complaint. Complaints, their nature and resolution should be mentioned in the quarterly progress reports. A sample grievance registration form is provided.
3. Second level of GRM: At this level, the PIU Manager/municipal level will coordinate with the Dzongkhag/Thromde municipal Committee which should be in place prior to project implementation. This committee will be comprised of: (i) Dzongda (district administrator) or Thrompon (mayor) as Chairman; (ii) municipal engineer (PIU Project managers) as Member Secretary; (iii) District engineers; (iv) district/municipal planning officer; (v) district/municipal legal officer; (vi) district/ municipal environmental officer; (vii) district/ municipal land record officer, (viii) town representatives (elected); and (ix) gender focal person of PIUs. The aggrieved person/s who filed the complaint (or representative/s from the affected household/s) will be called to present his/her case and deliberation on the

case will be done through proper hearing or mediation. It will be the responsibility of the dzongkhag/ thromde committee to resolve the issue within 15 days from the date the complaint is received. Minutes of meeting of the Dzongkhag/ thromde committee meeting will be kept and resolution provided will be recorded for purposes of project monitoring. If the complaint is unresolved at this level, the PMU, PIU or the District Administrator will inform the aggrieved person accordingly and assist them in elevating the complaint to the PMU/ Central Grievance Committee.

4. **Third level of GRM.** Grievances not redressed at the Dzongkhag/ Thromde municipal committee within 15 days will be brought to the Central Grievance Redress Committee at MOWHS level. The Central Grievance Redress Committee will comprise of: (i) Secretary, MOWHS (Chairman); (ii) Director, DES (Member secretary); (iii) Project manager, PMU; (iv) Project coordinator, PMU; (v) Water and Sanitation Division chief; (vi) legal officer, MOWHS; (vii) environmental officer, MOWHS; (viii) gender officer (MOWHS); and (ix) representatives from local NGOs. It will be the responsibility of the dzongkhag/ thromde committee to resolve the issue within 10 days from the date the complaint is received. In the event, the grievance is still not resolved; the matter may be elevated by the aggrieved person to an appropriate court of law. The court will have the final authority to approve or reject the case. Aggrieved persons may seek recourse through legal system at any stage of the GRM process.
5. **Record keeping.** Records will be kept by the PIU of all grievances received, including contact details of complainant, date the complaint was received, nature of grievance, agreed corrective actions and the date these were effected, and final outcome.
6. **Costs.** All costs involved in resolving the complaints (meetings, consultations, communication, and information dissemination) will be borne by the concerned municipalities.
7. **Complaints to NECS.** Complaints about environmental performance of projects that relate to non compliance of Environmental Clearance requirements can also be brought to the attention of NECS. The steps that NECS may follow in handling complaints are: (i) NECS shall verify if the complaint is within its jurisdiction; and (ii) within 72 hours from receipt of a complaint NECS will send the proponent a Notice of Alleged Violation (NAV) and requests for an official reply as to why the proponent should not be penalized, (iii) NECS may conduct field validation, site inspection and verification or other activities to assess or validate the complaint. The proponent is allowed to respond within 7 days. Proponent's failure to respond to the NAV and further notices will force NECS to take legal actions. NECS may issue a Cease and Desist Order (CDO) to project proponents which shall be effective immediately based on: (i) violations under the National Assessment Act of 2000 and its implementing rules and regulations, and (ii) situations that present grave or irreparable damage to the environment. NECS may also suspend or cancel the proponent's Environmental Clearance if the terms and conditions have been violated the National Environment Protection Act of 2007.

8. The GRM notwithstanding, an aggrieved person shall have access to the country's legal system at any stage. This can run parallel to accessing the GRM and is not dependent on the negative outcome of the GRM.

9. In the event that the established GRM is not in a position to resolve the issue, the affected persons can also use the ADB Accountability Mechanism through directly contacting (in writing) the Complaint Receiving Officer at ADB headquarters. The complaint can be submitted in any of the official languages of ADB's Developing Member Countries. The ADB Accountability Mechanism information will be included in the Project Information Document to be distributed to the affected communities, as part of the project GRM.

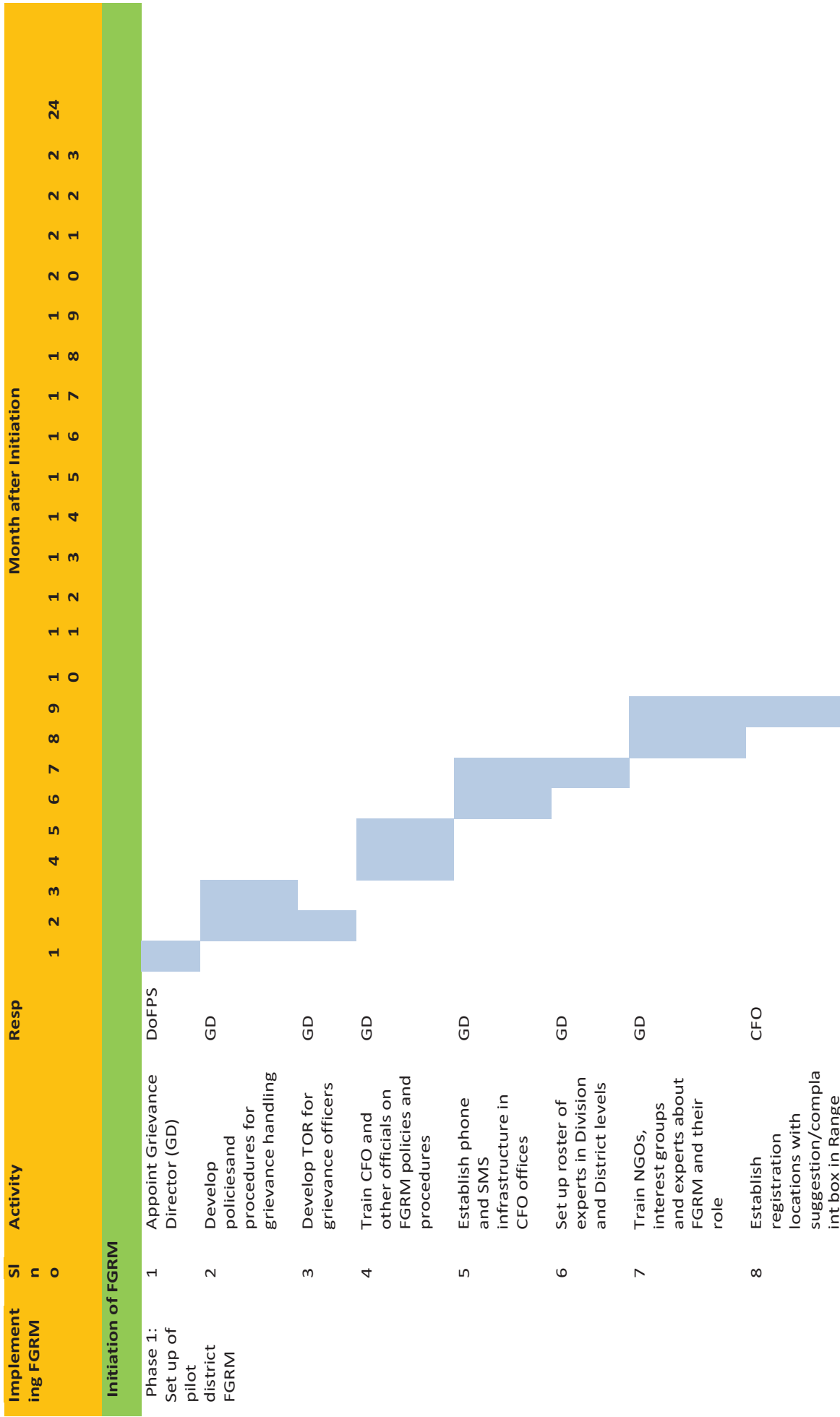
Annexure 6: Overview of clients of and supporters to the FGRM

Scope	Potential REDD+ related grievance	Cause	Clients to the FGRM	Potential support group
REDD+ Program Rights	Activities, time-lines	Design,	Local forest dependent communities/ forest users	RO, Community leaders, local government, NGOs,
	and responsible parties	implementation or evaluation problems		Community leaders, NGOs
	User boundary	Dominance of State Unclear user rights	Local forest users	NGOs, Other interest groups
	FPIC	Stakeholder's rights not respected	Local forest users	DFO, RO, Community leaders
	Forest user right	Unclear user rights	Local forest users	NGOs, local government, Community leaders
	Land seizing	Dominance of State	Local forest users, usually poor and marginalized	DFO, RO, Community leaders
	Encroachment	Poverty of marginalized and landless peoples Influx of migrants	Poor, marginalized and landless people	DFO, RO, Community leaders
Engagement	Participation	Poor engagement of stakeholders	Local forest users, usually poor and marginalized	DFO, local government, Community leaders, NGOs

Scope	Potential REDD+ related grievance	Cause	Clients to the FGRM	Potential support group
Benefit Sharing	Benefit sharing	Unclear agreements	Local forest users, usually poor and marginalized	NGOs, local government, Community leaders,
	Identity claims by groups	Democratic maturation	Poor, marginalized and landless people	NGOs, DFO
Customary Practices	Elite capture	Acculturation, Changing role leaders	Traditional community members	NGOs, DFO

	Change forest user rules	Acculturation, Changing role leaders		
	Women and local inequity	Historic social system	Women and local user groups	Community leaders, NGO

Annexure 7: Action plan for Implementation of the FGRM

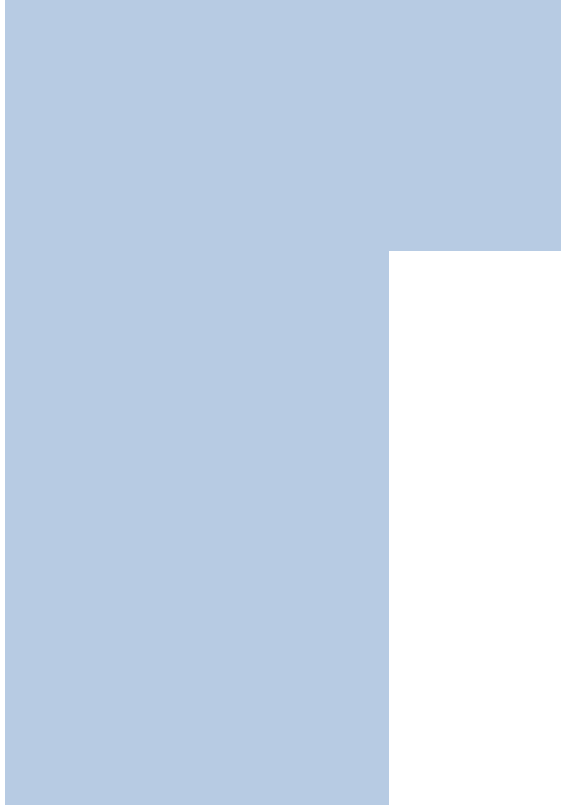


	Offices		
Phase 2: Set up of national FGRM	9	Establish phone, SMS and suggestion/complaint box at DFO Offices	GD/ CFO
	10	Train remaining CFOs, grievance staff, NGOs and stakeholders on FGRM policies and procedures	GD
	11	Raise local awareness on FGRM to CFO officials, NGOs and forest users	CFO/ RO
	12	Raise awareness to other REDD+ structures	GD
Phase 3: Set up email modality	13	Email modality set up at DoFPS, MoAF	GD
	14	Develop online FGRM service to expand the outreach	GD
Operation of FGRM			
	1	Grievance handling	GD/ CFO
	2	Monitoring indicators	GD

measuring
stakeholders
participation in
FGRM

3 Monitoring
indicators
measuring
effectiveness of
FGRM

4 Evaluation of
FGRM and
planning of future
activities





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Department of Forest & Park Services
Ministry of Agriculture & Forests**