ROYAL GOVERNMENT OF BHUTAN

# Framework of the Safeguard Information System (SIS) for REDD+ in Bhutan

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# Abbreviations

| | |
|---|---|
| **ACC** | Anti-Corruption Commission |
| **AFD** | Administration and Finance Division |
| **C4** | Climate Change Coordination Committee |
| **COP** | Conference of the Parties to the UNFCCC |
| **DoFPS** | Department of Forests and Park Services |
| **DoL** | Department of Livestock |
| **EIA** | Environmental Impact Assessment |
| **ESMF** | Environmental and Social Management Framework |
| **ESMS** | Environmental and Social Management System |
| **ERPD** | Emissions Reduction Program Document |
| **ER** | Emission Reduction |
| **FCPF** | Forest Carbon Partnership Facility |
| **FMU** | Forest Management Units |
| **FPIC** | Free, prior and informed consent |
| **FGRM** | Feedback and Grievance Redress Mechanism |
| **FIRMS** | Forest Information Reporting and Monitoring System |
| **FRMD** | Forest Resources Management Division |
| **GCF** | Green Climate Fund |
| **GNHC** | Gross National Happiness Commission |
| **MoF** | Ministry of Finance |
| **MoAF** | Ministry of Agriculture and Forests |
| **MRV** | Measurement, Reporting and Verification |
| **NBC** | National Biodiversity Centre |
| **NCHM** | National Center for Hydrology and Meteorology |
| **NEC** | National Environment Commission |
| **NEPA** | National Environment Protection Act 2007 |
| **NFI** | National Forest Inventory |
| **NLC** | National Land Commission |
| **NFMS** | National Forest Monitoring System |
| **NSB** | National Statistics Bureau |
| **NWFP** | Non-Wood Forest Products |
| **OAG** | Office of Attorney General |
| **Ops** | Operational Policies |
| **PAMs** | Policies and Measures |
| **PLRs** | Policies, Laws and Regulations |
| **RAA** | Royal Audit Authority |
| **RBF** | Results Based Finance |
| **REDD+** | Reducing Emissions from Deforestation and forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks |
| **RGoB** | Royal Government of Bhutan |
| | |
| **R-PP** | Readiness Preparation Proposal |
| **SESA** | Strategic Environment and Social Assessment |
| **SIS** | Safeguard Information System |
| **TAC** | Technical Advisory Committee |
| **TWG** | Technical Working Group |
| **UNFCCC** | The United Nations Framework Convention on Climate Change |
| **UWICER** | Ugyen Wangchuck Institute for Conservation and Environmental Research |
| **WB** | World Bank |
| **WMD** | Watershed Management Division |

# 1. Introduction

The development of a safeguard information system (SIS) is one of the three safeguard-related requirements[1] outlined by the United Nations Framework Convention on Climate Change (UNFCCC) and is linked to the delivery of results-based payments[2] from REDD+ program.

Although there are no official guidelines on how countries are supposed to develop a SIS, parties to UNFCCC have agreed on some broad guidance[3] on the characteristics of SIS as follows:

- Information shared to all relevant stakeholders and updated on a regular basis;
- Be transparent and flexible to allow for improvements over time;
- Provide information on how all the safeguards referred to in appendix I of decision 1/CP.16 are being addressed and respected (see Annex IV);
- Be country-driven and implemented at the national level; and
- Build upon existing systems, as appropriate.

The SIS should be designed and developed according to each country's national circumstances and be built upon existing national information systems and sources. The SIS does not necessarily require the establishment of new information systems, but rather requires decisions to be made on how to utilise existing information systems and sources.

In the absence of more specific guidelines regarding the SIS, the system can be broadly understood as the domestic institutional arrangements - and associated processes - in place for providing information on how the safeguards are being addressed and respected in a country throughout the implementation of its proposed REDD+ interventions.[4] The main element that need to be put in place is an institutional arrangement for collecting, compiling, aggregating and analysing relevant information as well as preparing and disseminating it to meet the different reporting needs of the relevant national and international stakeholders. The development of the SIS therefore involves a process of identifying and assessing existing information systems and sources which may relate to the various safeguard reporting needs of the country. The SIS is more than just an information technology solution because it serves as a tool for the dissemination of information to relevant stakeholders.

In addition to the UNFCCC, both the Forest Carbon Partnership Facility (FCPF) and Green Climate Fund (GCF)[5] (which may apply in Bhutan), require countries to have an SIS for REDD+. Their requirements regarding SIS include:

[1] The other two being: 1) ensuring consistency of the REDD+ interventions with the UNFCCC safeguards throughout the implementation of REDD+, and 2) the provision of a summary of information demonstrating how the safeguards have been addressed and respected to the UNFCCC.

[2] Decision 2/CP. 17, paragraph 64

[4]UN REDD Programme (2016) REDD+ Safeguard Information Systems: Practical Design Considerations. Technical Resource Series. Safeguards Edition 1

[4]UN REDD Programme (2016) REDD+ Safeguard Information Systems: Practical Design Considerations. Technical Resource Series. Safeguards Edition 1

[5] Decision 9 CP.19 paragraph 11 and decision 17/C P.21

- For the GCF Environmental and Social Safeguards (ESS), countries are required to establish procedures to monitor and measure the effectiveness of the Environmental and Social Management System (ESMS), as well as compliance with any legal and/or contractual obligations and requirements. Where appropriate, countries must consider involving affected community representatives in monitoring activities. In cases where significant impacts have been identified, countries may need to allow external experts to verify its monitoring information. Countries must use 'dynamic mechanisms'[6] to verify the compliance and progress towards the desired outcomes. Monitoring requires recording information to track performance and comparing this to previous benchmarks.

- For the FCPF Methodological Framework, countries are required to promote the UNFCCC REDD+ safeguards[7], in part, though not solely, demonstrated through having a SIS in place.[8] It also requires countries to report on the implementation of the Emission Reduction (ER) Program Safeguards Plans. Hence, the FCPF expects countries to have a SIS in place, which can provide information on compliance with both UNFCCC REDD+ safeguards and World Bank Operational Policies (WB OPs).[9]

In order to meet the requirements of the UNFCCC, FCPF and GCF, the framework of Bhutan's SIS includes functions and institutional arrangements along with the identification of SIS information needs and its relevant sources. The SIS draws on the analysis of existing and relevant information systems and sources and on the inputs gathered through consultations with relevant stakeholders. It must be reiterated that the development of the SIS is an iterative process and its institutional arrangements will be flexible to evolve as REDD+ implementation is further defined.

## 2. Framework of the SIS in Bhutan

The SIS is generally understood to be a domestic institutional arrangement responsible for providing information as to how the UNFCCC safeguards are being addressed and respected in the context of the implementation of the proposed REDD+ interventions.

While a SIS is intended to demonstrate how safeguards are being addressed and respected, it is merely an institutional framework for collecting, managing and disseminating information. It is important to note that an SIS on its own is neither expected nor intended to ensure that

[6] Such as internal mechanisms and audits

[7] Decision 1/CP.16

[8] Decision 12/CP.17

[9] The following criteria and indicators from the Carbon Fund's Methodological Framework refer to the SIS, and which need to be considered for its design: Criterion 25: Information is provided on how the ER Program meets the World Bank social and environmental safeguards and addresses and respects the safeguards included in UNFCCC guidance related to REDD+, during ER Program implementation. Indicator 25.2: "This information is also made available as an input to the national systems for providing information on how safeguards are addressed and respected (SIS) required by the UNFCCC guidance related to REDD+, as appropriate. "

REDD+ interventions are implemented in consistency with the UNFCCC safeguards, although it may contribute to doing so.

The framework of Bhutan's SIS is composed of the following elements:

1) Safeguard information needs
2) Sources of information for the SIS
3) Functions and institutional arrangements for the SIS

## *2.1 Objectives of the SIS in Bhutan*

The objective of the SIS, from the perspective of UNFCCC requirements, is to provide information that is accessible by all relevant stakeholders to demonstrate that the seven UNFCCC safeguards are being addressed and respected throughout REDD+ implementation. Reliable safeguards information is important not only for achieving REDD+ implementation in a sustainable manner but can also serve possible broader sustainable development and other national policy, goals as well as other international reporting obligations.

The RGoB has multiple reporting commitments linked to relevant agencies/initiatives (e.g. UNFCCC, FCPF Carbon Fund, GCF , national and other safeguards). The SIS is therefore being designed to provide information to all of them, thus ensuring a cost effective approach to safeguard reporting.

The design of a SIS is an iterative process and thus may include additional objectives over time. However, the current objectives for developing the SIS are for:

- Reporting to national stakeholders
- Reporting to UNFCCC
- Reporting to the FCPF
- Reporting to the GCF

### a) Reporting to national stakeholders

The UNFCCC requires countries to provide transparent and consistent information on safeguards that is accessible by all relevant stakeholders and updated on a regular basis. The proposed web-based platform that hosts the SIS will enable local, national and international stakeholders to effectively monitor Bhutan's compliance with REDD+ safeguards (Section 5).

### b) Reporting to the UNFCCC

The UNFCCC requires countries to submit the most recent summary of information on how all the UNFCCC safeguards are being addressed and respected.[10] Bhutan intends to utilize the

[10] Decision 12/CP.17, paragraph 3 and Decision 9/CP.19, paragraph 4

information compiled and managed by the SIS as the basis for the preparation of its summary of information to the UNFCCC.

**The Cancun safeguards :**[11]

When undertaking the activities referred to in paragraph 70 of this decision[12] , the following safeguards should be promoted and supported:

*(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements ;*
*(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty ;*
*(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples ;*
*(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision ;*
*(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits ;*[13]
*(f) Actions to address the risks of reversals;*
*(g) Actions to reduce displacement of emissions*

### c) Reporting to the Forest Carbon Partnership Facility

The FCPF requires countries to promote the UNFCCC safeguards[14], in part, though not solely, demonstrated through having a SIS in place.[15] In addition, the FCPF requires the information to be provided on how the Emission Reductions (ER) Program meets the World Bank social and environmental safeguards during ER Program implementation.[16] This is outlined in the Environmental and Social Management Framework (ESMF).

### d) Reporting to the Green Climate Fund

[11] UNFCCC Decision 1/CP.16 Appendix 1 paragraph 2
[12] UNFCCC Decision 1/CP.16 Appendix 1 paragraph 2
[13]Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as International Mother Earth Day.

[14] Decision 1/CP.16
[15] Decision 12/CP.17
[16] Indicator 25.1 and 25.2 of Carbon Fund's Methodological Framework

In deciding on allocation of Results Based Payments, the GCF will assess the following relevant elements[17]:

- Reference to the summary of how safeguards referred to in Appendix I of 1/CP.16 were addressed and respected during the results period and evidence that the SIS is in place;
- Evidence that demonstrates that the information on safeguards has been made transparently available to domestic and other stakeholders;

Information compiled and managed by the SIS would be used to report to the GCF.

[17] Green Climate Fund, 26 June 2017 Pilot Programme for REDD+ Results-based Payments, **GCF/B.17/13**

## *2.2 Safeguard Information Needs for the SIS*

Developing-country Parties have to provide information on *how* they have 'addressed' and 'respected' the seven UNFCCC safeguards throughout the implementation of their REDD+ activities.[18] However, the UNFCCC does not provide any guidance as to what type of information is expected to be provided to demonstrate how UNFCCC safeguards are being 'addressed' and 'respected'.

A key SIS design consideration that countries have undertaken as an initial step is determining 'what type' of information is needed to demonstrate whether the UNFCCC safeguards are being addressed and respected. This is usually referred to as the process of determining the 'SIS information needs'.

Country experiences have highlighted that information on relevant governance arrangements (e.g. Policies, Laws and Regulations - PLRs) can be used to demonstrate how the UNFCCC safeguards will be *address*ed. On the other hand, information about how these governance arrangements are working in practice, together with the resultant outcomes of their implementation, will demonstrate how the UNFCCC safeguards are being *respected.*[19]

Bhutan's SIS will be based on the information needs, that were compiled based on various consultation meetings in a participatory manner (Table 1-6). These indicators are linked to demonstrating how the UNFCCC safeguards are addressed and respected and have been determined in accordance with Bhutan's interpretation[20] of the UNFCCC safeguards. The interpretation of the UNFCCC safeguards is a document which specifies how the general principles outlined in the UNFCCC safeguards are anchored in the country's policies, laws and regulations (PLRs). It demonstrates how the UNFCCC safeguards translate into specific principles and objectives that are to be followed and promoted in the context of the implementation of REDD+ PAMs in Bhutan.

The safeguard information needs of the SIS with regards to 'respecting' (Table 1-6) are inclusive of the qualitative and quantitative information that Bhutan considers to provide in order to demonstrate how the UNFCCC safeguards are being 'respected', including the resultant outcomes of their implementation. It is important to note these information needs will be reviewed and updated or refined once the REDD+ interventions are fully defined and locations specified.
The information about 'addressed' would include a clear description of the relevant governance arrangements (e.g. Policies, Laws and Regulations - PLRs) and the implementation of the Environmental Social Management Framework (ESMF) in Bhutan.

[18] UNFCCC Decision 12/CP.17 paragraph 3

[19] Rey D., Shah, W.P. & Swan S.R. (2015). Country Approaches to REDD+ Safeguards: A Global Review of Initial Experiences and Emerging Lessons. United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD), Geneva. Braña Varela, J., Lee, D., Rey Christen, D., and Swan, S. 2014. "REDD+ Safeguards: Practical Considerations for Developing a Summary of Information." Prepared with support from the Government of Norway's International Climate and Forest Initiative.

[20] Clarification of the UNFCCC REDD+ Safeguards in accordance with the national context and circumstances of Bhutan (2018) prepared under this consultancy.

For each of the UNFCCC REDD+ safeguards are presented:

- the interpretation of the UNFCCC safeguard to the national context based on the document 'Recommendations for addressing the UNFCCC REDD+ Safeguards in Bhutan: identification and assessment of the relevant legal framework'[21]
- the core elements of the safeguard
- the safeguard information needs (qualitative and quantitative indicators)

**Safeguard A**

Bhutan's interpretation of UNFCCC Safeguard A: ***"The National REDD+ Strategy is designed in compliance with the objectives of national forest programmes, and consistent with the objectives of relevant treaties and international conventions that Bhutan is Party to"***

**Core elements of Bhutan's interpretation of safeguard A:**

1. The National REDD+ strategy & Action Plan is consistent with the objectives of national forest programmes
2. The National REDD+ strategy & Action Plan is consistent with relevant and applicable international conventions and agreements

TABLE 1: INFORMATION NEEDS FOR SAFEGUARD A

| |
|---|
| • Description of how the REDD+ strategy is consistent with the objectives of national forest programmes (these have been identified in the PLR analysis document) |
| • Description of how the REDD+ strategy is consistent with the objectives of the various international agreements to which Bhutan is a Party (these are listed in the PLR analysis document) |

**Safeguard B**

Bhutan's interpretation of UNFCCC Safeguard B: ***"Transparency and effectiveness of forest governance structures - which includes the right to access information, accountability of civil servants and public budgets, integration of social, economic and environmental considerations into decision-making, cross sectoral coordination, access to justice, the equitable distribution of benefits, gender equality and the recognition and protection of forest land use rights - are promoted and regulated throughout the implementation of the National REDD+ strategy in accordance with national legislation."***

**Core elements of Bhutan's clarification of safeguard B:**

1. Right to the access of information is recognised and regulated in the context of the implementation of the National REDD+ strategy

[21] Recommendations for addressing the UNFCCC REDD+ Safeguards in Bhutan: identification and assessment of the relevant legal framework', WMD, January 2018

2. Accountability of civil servants and public budgets is guaranteed throughout the implementation of the National REDD+ strategy
3. Rights over forest land are recognised throughout the implementation of the REDD+ strategy
4. The equitable distribution of benefits is ensured throughout the implementation of the National REDD+ strategy
5. Gender equality is promoted and protected throughout the implementation of the National REDD+ strategy
6. Access to justice is enabled throughout the implementation of the National REDD+ strategy
7. Cross sectoral coordination is ensured during the design and implementation of the National REDD+ strategy and resulting PAMs

TABLE 2:: INFORMATION NEEDS FOR SAFEGUARD B

**Qualitative:**

- Description of information sharing/dissemination activities undertaken while developing the policy/project (workshops, newspaper, radio)
- Description of requests for information received from the public (types of information requested)
- Description of how REDD+ finance (readiness, implementation and results) is expected/has been spent (project budgets or audited spending can be included in annex or provided on request)
- Description of monetary) and non-monetary benefits to be provided from the REDD+ intervention
- Outcomes of corruption related investigations undertaken in the context of REDD+
- Description of main types of grievances lodged in relation to REDD+ intervention design and implementation
- Description of how social, economic and environmental considerations were integrated into the design of the Policy or project
- Description of total monetary (amounts disbursed) and non-monetary benefits provided from the REDD+ intervention
- Description of how different ministries/departments/agencies were involved in the design and implementation of the REDD+ intervention

**Quantitative**

- Number of requests for information addressed/rejected
- Percentage of requests for information received that were rejected/granted
- Number of requests for information received
- Number of REDD+ related denunciation, investigations, prosecutions or convictions for corruption
- Number of people with statutory access/use rights (permits) (including community) in area before/after REDD+ intervention
- Number of people with statutory ownership rights (including community) in area before/after REDD+ intervention

- Number of people with restricted customary access/use rights (including community) in area after REDD+ intervention
- Number of people that received monetary benefits from the REDD+ intervention (amounts disbursed)
- Number of people that received non-monetary benefits from the REDD+ intervention
- Number of complaints of discrimination on the basis of gender
- Number of women in REDD+ intervention area
- Number of women participations in design/implementation of the REDD+ intervention
- Number of women identified as beneficiaries for monetary and/or non-monetary benefits in REDD+ intervention area
- Number of REDD+ related grievances received by the FGRM in relation to REDD+ intervention design and/or implementation
- Number of REDD+ related grievances resolved by the FGRM
- Number of REDD+ related grievances not resolved/appealed following
- Number of REDD+ related grievances received by the FGRM redirected to the courts
- Number of times compensation awarded, and amount of compensation awarded following resolution of grievances (if appropriate)
- Number of different ministries/departments involved in the design of the REDD+ intervention
- Number of different ministries/departments/agencies involved in the implementation of the REDD+ intervention

**Safeguard C**

Bhutan's interpretation of UNFCCC Safeguard C: ***"The rights of members of local communities, including - protection against discrimination, preservation of cultural heritage (including customs, culture, movable cultural property, sacred spaces), recognition of community dispute settlement and traditional knowledge - are promoted and regulated throughout the implementation of the REDD+ strategy."***

**Core elements of Bhutan's clarification of safeguard C:**

1. The rights of members of local communities are respected throughout the implementation of the National REDD+ strategy
2. Traditional knowledge is recognized and protected in the context of the application of the National REDD+ strategy

**Table 3:** Information Needs for Safeguard C

| **Qualitative** |
|---|
| • Description of how the customs (festivals, rituals) specific to the community are respected during the design and implementation of the REDD+ intervention<br>• Description of sacred areas in REDD+ intervention area before and after<br>• Description of community dispute settlement mechanism in REDD+ intervention area (link to FGRM<br>• Description of any forestry related traditional knowledge that is specific to the community where the REDD+ intervention will/is being implemented, and description of how it was |

respected/taken into account (discussions with community asking about their practices, asked whether they want to keep them or use a new practice?) during the design and implementation of the REDD+ intervention

**Quantitative**

- Description/number of times the community dispute settlement mechanism was used in REDD+ intervention area (link to FGRM)
- Number of Traditional Knowledge Protocols held/developed by the community before/after the REDD+ intervention (ABS agreements)

**Safeguard D**

Bhutan's interpretation of UNFCCC Safeguard D: ***"The right to full and effective participation of relevant stakeholders is recognised and regulated – including the use of appropriate participatory mechanisms and due consideration of the inputs received, including any local opposition to a planned intervention - throughout the implementation of the REDD+ strategy."***

**Core elements of Bhutan's clarification of safeguard D:**

1. The right to participate in the design and implementation of the National REDD+ strategy is recognized and promoted
2. Identification of Relevant stakeholders prior to the design and implementation of the National REDD+ Strategy is ensured.
3. Appropriate Participatory mechanisms are in place to ensure full and effective participation throughout the implementation of the National REDD+ Strategy
4. The right of local communities to withhold consent to a planned intervention is ensured

TABLE 4: INFORMATION NEEDS FOR SAFEGUARD D

**Qualitative**

- Description/mapping of the different types (categories and numbers) of stakeholders 'relevant' to the planned REDD+ intervention
- Description of the participatory mechanism/process followed during design of the REDD+ intervention (description and number of workshops, expert meetings)
- Description of additional measures taken to ensure participation of vulnerable stakeholders (adapting communication materials to local languages, additional outreach to remote locations etc.)
- Description of how the feedback (including opposition to the intervention) was taken into account during design of the REDD+ intervention (modification of design)
- Description of participatory mechanism/process followed to gather feedback during implementation of the REDD+ intervention
- Description of how the feedback was taken into account during implementation of the REDD+ implementation

**Quantitative**

- Number of stakeholders consulted during design of REDD+ intervention, by category (men, women, age, profession)

**Safeguard E**

Bhutan's interpretation of UNFCCC Safeguard E: ***"REDD+ interventions do not result in the conversion of natural forests, promotes the conservation of natural forests and biodiversity, the enhancement of social and environmental benefits provided by forests, as well as alternative livelihoods."***

**Core elements of Bhutan's clarification of safeguard E:**

1. The conservation of natural forests and biological diversity is recognized and protected in the context of the implementation of the National REDD+ strategy
2. The REDD+ strategy will not incentivize the conversion of natural forests
3. The ecological, biological, climatic, and socio-economic, benefits provided by forests are recognised and enhanced throughout the implementation of the National REDD+ Strategy

TABLE 5: INFORMATION NEEDS FOR SAFEGUARD E

**Qualitative**

- Baseline information on natural forest cover and biological diversity in area prior and after REDD+ intervention
- Description of how the conservation of natural forests and biological diversity was considered during the design of the REDD+ intervention (screening, risk assessment, EIA)
- Information on natural forests and biological diversity after REDD+ intervention. Analysis of change
- Description of mitigation measures to conserve natural forests and biological diversity included in REDD+ intervention design and implementation
- Description of main ecosystem services provided in REDD+ intervention area prior and following to implementation (analysis of change if any loss or enhancement)

**Quantitative**

- Natural forest cover in area after REDD+ intervention (natural forest cover change)
- Baseline information on socio-economic conditions in REDD+ intervention area prior to implementation (number of people, average income, main business, access to social services such as schools and hospitals)
- Statistics on socio-economic conditions in REDD+ intervention area following implementation (Jobs or businesses created, change in average income, improved access to social services)

**Safeguard F & G**

Bhutan's interpretation of UNFCCC Safeguard F & G: ***"Actions to address risks of reversals and displacement of emissions are taken throughout the implementation of the REDD+ strategy"***

**Core elements of Bhutan's clarification of safeguard F & G:**

1. The risks of reversals and displacement are identified throughout the implementation of National REDD+ strategy
2. The risks of reversals and displacement are addressed throughout the implementation of National REDD+ strategy

TABLE 6: INFORMATION NEEDS FOR **SAFEGUARD F & G**

| |
|---|
| **Qualitative** |
| Description of the actions taken to identify and address the risks of reversals |
| Description of the actions taken to identify and address the risks of displacement |
| |
| **Quantitative** |
| Number of $CO_2$ reduced since REDD+ intervention/implementation |
| Variation of deforestation rates in neighbouring areas before and after the REDD+ intervention/implementation. |

## *2.3 Sources of Information for the SIS*

According to the UNFCCC guidance on SIS design, countries should, as appropriate, build upon existing systems and arrangements that are deemed relevant for providing information on the REDD+ safeguards. In order to determine the extent to which it is possible to build on existing systems, countries are, therefore, expected to identify existing information systems and sources that are potentially relevant to the SIS, and assess how these existing systems can provide information to respond to the SIS information needs.

Most countries (including Bhutan) already have information systems or databases in place to gather and report information on how their PLRs are being implemented.

The UNFCCC acknowledges that a country's national forest monitoring system (NFMS)[22] may provide relevant information for the purposes of the SIS. As such the UNFCCC encourages countries to explore synergies and efficiencies between these systems. Therefore, Bhutan will consider the use the NFMS as a source of quantitative information for the SIS, in particular to provide information concerning UNFCCC safeguards e, f, and g.

Since 2017 the DoFPS, has operationalized the Forest Information Reporting and Monitoring System (FIRMS), under the Forest Resource Management Division (FRMD), which compiles, reviews and annually publishes a large amount of relevant information. In keeping with the principle of integration with existing systems, this system will provide the basis for the structure to be used, as well some of its content.

Major REDD+ safeguard implementation information will come from the REDD+ implementers through the use of a reporting template (annex I) submitted to the REDD+ Secretariat.
**PAM implementing agencies will provide much of the information**, which will be complemented by existing information sources identified as potential sources relevant to the information needs. This additional information will be collected from existing sources / supplemented by the REDD+ Secretariat. These pre-identified existing sources include:

- Royal Audit Authority Annual report or database
- Office of the Attorney General (OAG), Anti-Corruption Commission (ACC) databases and annual report
- Land records offices (Gewog, Dzongkhag Land Records Section, and NLC)
- Annual Dzongkhag statistics
- National Statistics Bureau database
- GHNC database for collecting data for the 5 year planning process
- National Centre for Hydrology and Meteorology
- Forest Information and Resource Management System (FIRMS)
- REDD+ benefit sharing mechanism (when it becomes functional)
- REDD+ grievance and redress mechanism (GRM) (when it becomes functional)
- National Biodiversity Centre repository

[22] Decision 11/CP.19 paragraph 5

- ~~Renewable natural resource statistics division (RSD) –~~

For each of the potential additional sources identified a short description is included in below per institution. Further information on the potential additional sources is provided in table 7 below.

It is important to note that these additional sources of information will only be used as additional/complementary sources, since most of the information will come directly from the REDD+ Implementing Agencies and will be integrated into the SIS institutional framework (Section 2.4).

### 1. Royal Audit Authority (RAA)

The RAA is a constitutional body mandated to audit and report on the economy, efficiency, and effectiveness in the use of public resource[23]. In terms of potential source of information for the SIS, the annual audit report (ARR), which is required by law to be submitted by the Auditor General to the to the King, the Prime Minister and Parliament, could provide crucial information. Apart from the approach of compliance or regulatory audits, the RAA also conducts performance audit to determine economy, efficiency and effectiveness in the management of public resources. The AAR is made accessible to the public in print and on the RAA official website.

In the context of the SIS, the RAA will be a source of information on accountability of civil/public servants, private enterprises, and public budgets throughout the implementation of the REDD+ strategy (B-2).

### 2. Office of the Attorney General (OAG) and Anti-Corruption Commission (ACC)

The Office of the Attorney General (OAG) is an autonomous body who's broad functions are to represent the State before the courts of law, provide legal opinion to the Government, and review and draft laws. It receives cases from the police and Anti-Corruption Commission (Criminal cases). In terms of potential source of information for the SIS, the annual report, which is required by law to be submitted to the King and the Prime Minister, could provide useful information. The Annual Report is made accessible to the public in print and on their official website.

The **Anti-Corruption Commission (**ACC) derives its mandates from the Constitution of Bhutan and the Anti-Corruption Act of Bhutan (2011), which is to combat and prevent corruption in the Kingdom. The ACC is required to submit an annual report on its policies and performances to the King, the Prime Minister and Parliament, which could provide useful information for

[23] Constitution of the Kindgom of Bhutan and the Audit Act of Bhutan 2018

the SIS. The Annual Report is made accessible to the public in print and on their official website.

In the context of the SIS, the ACC and OAG will be a source of information on accountability of civil/public servants, private enterprises, and public budgets throughout the implementation of the REDD+ strategy (B-2), as well as information on access to justice throughout the implementation of the REDD+ strategy (B-6).

### 3. Land records offices (Geog, Dzongkhag Land Records Section, and NLC)

The National Land Commission (NLC) is an independent authority and the highest decision-making body on land in the country.[24] The NLC effects all the land transactions – lease, ownership transfer, conversion, etc. as well as issues the title deeds of land and maintains all land related records/information.

In order to reach its services to the community, Land Records Offices are established at Gewog/Thromde and Dzongkhag level. These offices provide services to the people of their local jurisdiction in surveying, verifying, collecting information, and processing the transactions and forwarding with the recommendation to the NLC for final validation. They will be a potential source of information for the SIS. NLC has their ***database of information*** maintained and general basic information is made accessible to the public on their official website.

In the context of the SIS, the NLC and land records offices will be a source of information on people's rights over their land, equitable lease of state land, protection of forest/environment, equitable distribution of benefits from the PAMs, etc. throughout the implementation of the REDD+ strategy (B-2, B-6, E-1, E-2, E-3).

### 4. Department of Forests and Park Services

The Department of Forest and Park Services (DoFPS) is one of the oldest Government Departments established in 1952, mandated to ensure the sustainable management of forest resources, efficient and effective forestry administration and service delivery. This means information collected and published by the DoFPS will be crucial for the SIS.

In 2017 the DoFPS began utilising an online portal ***Forest Information Reporting and Monitoring System*** (FIRMS) which encompassed many of the existing sources of information regarding environmental information needs. The FIRMS is maintained by the FRMD. Each year the DoFPS publishes a reviewed ***Annual Forest Statistics***, which is a validation of information collected on a continuous basis from 24 field offices, down to the range and the beat level.

[24] Section 3, the Land Act of Bhutan 2007

The information collated within this portal is from various sources and has been identified as useful on several fronts with regard to the SIS as providing information relating to safeguard E mainly:

- Forestry Management Units: Information including annually submitted management plans, regarding conservation and other activities.
- Community Forests Management Plans: these include information on biodiversity, forest type and changes in quality and quantity, as well as information on Non-Wood Forest Products.
- National Forest Inventory (NFI): Including information of forest cover generally, growing stock and tree count.
- Non-Wood Forest Product Management Plans: All NWFP groups and communities must provide this information annually.
- Research Portal information: The FRMD also collects information from the Ugyen Wangchuck Institute for Conservation and Environmental Research (UWICER) which includes information on a various issue of conservation and environmental degradation in Bhutan, as well as The Biodiversity Portal, maintained along with the National Biodiversity Centre (NBC).

### 5. Dzongkhags

Bhutan is comprised of 20 Dzongkhags, which are each comprised of a variety of sector offices delivering services to the local population, such as a Dzongkhag Health Office, Dzongkhag Land Records Office, Dzongkhag Education Office, etc. Each sector office performs their duties within the Dzongkhag and report their work to their respective Ministry as well as the Dzongkhag administration.

In the process of implementing the 5 year plans of development of their sectors, Dzongkhag offices and administration collect and maintain data which is published in the annual dzongkhag statistics. General information is usually made accessible to the public on the Dzongkhag website while detail information may be obtained upon request.

Undoubtedly these offices will provide crucial information on sub-national implementation of REDD+ activities to the SIS. Some of these statistics will be a potential source of information for the SIS, mainly on safeguard E.

### 6. National Statistics Bureau

The National Statistics Bureau's (NSB) is the central authority and custodian of the national statistics. The NSB is mandated to maintain an official national database, as well as regularly publish statistical reports.

General information, and in some cases detailed information, is published and uploaded on their official website. In the context of the SIS, the NSB Database may be a useful source of information for safeguard B and E.

### 7. Gross National Happiness commission (GNHC)

The Gross National Happiness Commission (GNHC) is an Institution aimed at steering national development towards promotion of happiness for all Bhutanese guided by the philosophy of GNH. It does so by ensuring all development policies and plans are formulated and implemented in line with the principles of GNH through the use of the Five year plans.

For the development of the 5 year plan, GNHC extensively consults various stakeholders, including Local Governments, Ministries, Agencies, CSOs, Private sectors, etc. Each agency then prepares their own 5 year plan (e.g. MoAF prepares its own 5 year plan) and submit to the GHNC for discussion and approval.

In the context of the SIS, ***GNHC database*** for collecting data for the 5 year planning process may be a source of information for safeguard B.

### 8. National Centre for Hydrology and Meteorology (NCHM)

The National Centre for Hydrology and Meteorology (NCHM) is an autonomous scientific technical organization since 2016, responsible for understanding the behaviours of atmosphere, its interaction with cryosphere and water bodies, the weather and climate and distribution of country's water resources. The NCHM is also responsible for generation of information and delivery of products and services on weather, climate, cryosphere and water resources in Bhutan.

In the context of the SIS, NCHM may be a source of information on conservation of ecology, forest etc. throughout the implementation of the REDD+ strategy (E-1, E-2, E-3).

### 9. National Biodiversity Centre (NBC)

The National Biodiversity Centre was instituted in 1998 under the Ministry of Agriculture and Forests to coordinate biodiversity conservation and sustainable use programs in the country. It's primary mandate includes serving as a national clearing house for biodiversity information, as the national focal agency to regulate access to biological resources of the country, ensuring equitable sharing of the benefits arising from access, and as a national focal agency for bioprospecting and documentation of traditional knowledge associated with biological resources.

The information compiled and managed by the NBC such as the national biodiversity portal may be a useful source of information for the SIS, in particular for information on traditional knowledge and biodiversity (C-2, E-1, E-3)

TABLE 7: **SUMMARY TABLE OF POTENTIAL ADDITIONAL SOURCES**

| Name of Source | Frequency of Data Collection | Types of Information Collected | Relevant safeguard and criteria |
|---|---|---|---|
| **Royal Audit Authority Annual report or database (RAA's website & written Annual Report, etc)** | Periodically or annually depending upon the nature of project and its funding (source) | Description of past and future utilisation of REDD+ funding. Proper and cost effective utilization of the fund; misuse/corruption in the fund siphoning by the officials would be identified and accountability fixed; and systemic lapses would be pointed out for improvement. | B.2 Accountability of civil servants and public budgets is guaranteed throughout the implementation of the REDD+ strategy |
| **Office of the Attorney General (OAG), Anti-Corruption Commission (ACC) databases and annual report (Their respective (website & written Annual Report)** | Annually | ACC: Number of corruption complaints received, investigated, forwarded to OAG for prosecution, take administrative action, conviction, etc.<br>OAG: Cases received for prosecution, declined prosecution, prosecution, conviction/acquittal by the courts, etc. As well as administrative datasets. | B.2 Accountability of civil servants and public budgets is guaranteed throughout the implementation of the REDD+ strategy<br><br>B.6 Access justice is enabled throughout the implementation of the REDD+ strategy |
| **Land records offices (Geog, Dzongkhag Land Records Section and NLCS)** | Could be annually | Land transaction – sale, *kidu,* lease - conversion of land category. In addition, the Centre for GeoInformation (CGISC) provides technical GIS information. | B.3 Rights over forest land are recognised throughout the implementation of the REDD+ strategy |

| | | | |
|---|---|---|---|
| **Dzongkhag and Geog Administration.** | Depending on information | Statutory and customary right holders. Number of grievances lodged. Administrative datasets and statistics, as well as records of grievances and minutes. | B.3 Rights over forest land are recognised throughout the implementation of the REDD+ strategy<br><br>B.6 Access justice is enabled throughout the implementation of the REDD+ strategy |
| **Forest Information Reporting and Monitoring System (FIRMS) of the Forest Resources Management Division (FRMD) of the DoPFS** | Information compiled by the FRMD under FIRMS and reviewed continuously as well as published annually. | Information relating to forest and biodiversity management plans, research information, biodiversity and forest inventory.<br><br>The FIRMS data includes all of the above with the exception of watershed management programs, which are produced by WMD under DoFPS. | E.1 The conservation of natural forests and biological diversity is recognized and protected in the context of the implementation of the REDD+ strategy<br><br>E.2 That REDD+ strategy will not lead to or incentivise conversion of natural forests.<br><br>E.3 The ecological, biological, climatic, and socio-economic, benefits provided by forests are recognised and enhanced throughout the implementation of the REDD+ interventions |
| **Annual Dzongkhag statistics (website & Register)** | Monthly (e.g. consumer index), annually, periodically depending upon | Birth, death, gender, age, household, land holding, hospitals, schools, students, civil servants, elected officials, development projects, benefits recipients etc.. | E.3 The ecological, biological, climatic, and socio-economic, benefits provided by forests are recognised and enhanced throughout the implementation of the REDD+ interventions |

| | | | |
|---|---|---|---|
| | the nature of information | | |
| **National Statistics Bureau database (website & written Annual Report)** | Periodically depending upon the nature of information/data collected | • Population and Housing Census of Bhutan which is done every after 10 years. The last census was done in 2017 (issues covered are employment, unemployment, labour, education or literacy, health which includes mortality/fertility/disability, migration, demography which includes age/gender/marital status, household assets, etc)<br>• Bhutan Living Standard Survey (BLSS) which is done every 5 years (poverty, household status are covered)<br>• Economic Census which is also done every 10 years (GDP, employment ,business establishments, etc.)<br>• National Accounts report<br>• Statistical yearbook | B.4 The equitable distribution of benefits is ensured throughout the implementation of the REDD+ strategy<br><br>B.5 Gender equality is promoted and protected throughout the implementation of the REDD+ strategy<br><br>E.3 The ecological, biological, climatic, and socio-economic, benefits provided by forests are recognised and enhanced throughout the implementation of the REDD+ interventions |
| **GHNC database for collecting data for the 5 year planning process**<br><br>**(website & written Report)** | They periodically review the progress of the development activities which could be annually or quarterly, mid- | Progress of the projects and activities, review of the policies implementation, etc. | B.6 Cross sectoral coordination is ensured during the design and implementation of the REDD+ strategy and resulting PAMs |

| | | | |
|---|---|---|---|
| | term review and terminal review | | |
| **National Biodiversity Centre (Biodiversity Information Management division) – National Biodiversity Portal** | Periodically depending upon the nature of information/data collected | Information on traditional knowledge, invasive species, access and benefit sharing. | C.2 Traditional knowledge is recognized and protected in the context of the application of the National REDD+ strategy<br><br>E.1 The conservation of natural forests and biological diversity is recognized and protected in the context of the implementation of the REDD+ strategy<br><br>E.3 The ecological, biological, climatic, and socio-economic, benefits provided by forests are recognised and enhanced throughout the implementation of the REDD+ interventions |

## *2.4 Functions and institutional arrangements of the SIS*

The UNFCCC states that an SIS should 'provide transparent and consistent information' on how all the UNFCCC safeguards are being addressed and respected, and provide information 'that is accessible by all relevant stakeholders and updated on a regular basis'. The functions of the SIS are closely linked to the institutional arrangements, as the functions may be carried out by a single, or multiple agencies/institutions. As such the core functions considered are:

- **Collection**: process of collecting raw data through information systems and sources (reporting template)
- **Aggregation**: process of aggregating, into a central repository/database, the information provided by the relevant sources and systems for the purpose of analysis.
- **Analysis**: process of undertaking assessment (qualitative and quantitative) of the information in order to determine to what extent the safeguards are being addressed and respected.
- **Dissemination of information**: process of disseminating, both internally (national level) and externally (international reporting) through appropriate means (e.g. website, reports, meetings with relevant stakeholders, etc.)

Through consultations with relevant stakeholders, the institutional arrangements for the SIS were agreed for each core function of the SIS (figures 2 and 3). These are intrinsically linked to the institutional arrangements for REDD+ in general.

### Function 1: Collection of information

This function refers to the process of collecting information on the ground and is linked to the monitoring and reporting responsibilities under the implementation of REDD+ PAMs. In accordance with this, collection of data is to be carried out by the REDD+ **Implementing Agencies**. They will collect data in collaboration with the various stakeholders including private sector companies, government bodies, communities, through their designated **Safeguard Focal Point** in charge of respective PAMs, as a component of their monitoring and reporting responsibilities under the implementation of REDD+ interventions.

Specific reporting templates (annex i) will be used for collecting the necessary information for the purpose of the SIS. This template will also serve as a basis for the design of a SIS online database if required to be developed one later..

Information will be collected and reported regularly depending upon the type of information, to allow for its analysis and preparation of national report every 12 months. PAM Implementing Agencies will verify information supplied at the national level before forwarding to the REDD+ Secretariat.

In addition to the information collected directly by the Implementing Agency, the REDD+ Secretariat, through its **National Safeguard Specialist** (ToR in annex II), will gather additional and complementary information from pre-identified existing complementary sources. In certain cases, this might require an information sharing agreement between the REDD+ Secretariat and another institution.

Finally, the REDD+ Secretariat will encourage relevant stakeholders such as academia, consultancy firms, NGOs, international agencies, civil society, etc. to submit complementary information on how the REDD+ interventions have been implemented in consistency with the UNFCCC REDD+ safeguards, and how these have been addressed and respected.

### Function 2: Aggregation of information

This function refers to the process of aggregating the requested information at national level through the SIS structure, with the purpose of being able to report on the application of the safeguards at national level. The local level safeguard focal points within an Implementing Agency will be responsible for sending the templates to national level focal points. Once verified, each Implementing Agency will submit the information to the REDD+ Secretariat.

Within the REDD+ Secretariat, the ***National Safeguard Specialist*** will be responsible for the aggregation of the information (Annex II for a ToR for this specialist).

The National safeguards specialist will gather the information from Implementing Agencies and **pre-identified existing sources** and, with the assistance of the **Technical Advisory Committee** (TAC) aggregate it in an agreed format in preparation for the creation of the draft report. This function will take 30 working days and be carried out every year.

### Function 3: Analysis of information

The analysis of information process aims to offer a qualitative and quantitative assessment of the information in order to determine to what extent the safeguards are being addressed and respected at national level.

The National Safeguard Specialist will prepare a draft report on safeguard implementation with the help of the TAC which will review and approve the analysis. This process can be done through several meeting and workshops.

Feedback from stakeholders will be addressed in the report within a pre-determined timeframe. Based on comments received, the REDD+ Secretariat will issue a responsiveness summary that summarizes all comments and responses to each and will submit the report to the Renewable Natural Resources Gross National Happiness Committee (RNR-GNHC) of MoAF, Climate Change Coordinating Committee (C4) of NECS and the National Climate Change Committee (NCCC) of NECS and, for final validation and endorsement, and the NECS for submission to the UNFCCC.

### Function 4: Dissemination of Information

This function refers to the process of disseminating the information produced by the SIS. Although UNFCCC guidance is not detailed in relation to this function, it is expected that the SIS should: “Provide

transparent and consistent information that is accessible by all relevant stakeholders."[25] This means that there is an expectation that SIS information be disseminated both internally (national level) and externally (international reporting) through appropriate means.

At the domestic level, once approval has been given by the NECS endorsing the final report, it will be published as a final version on the SIS website. Information and updates on the SIS website will be done frequently, and a national report will be published every year.

This approval will also lead to the reporting to the UNFCCC through the summary of information (SoI) on safeguards.

[25] UNFCCC Decision 12/CP.17 paragraph 2(b)

FIGURE 2: INSTITUTIONAL ARRANGEMENTS OF SIS IN BHUTAN

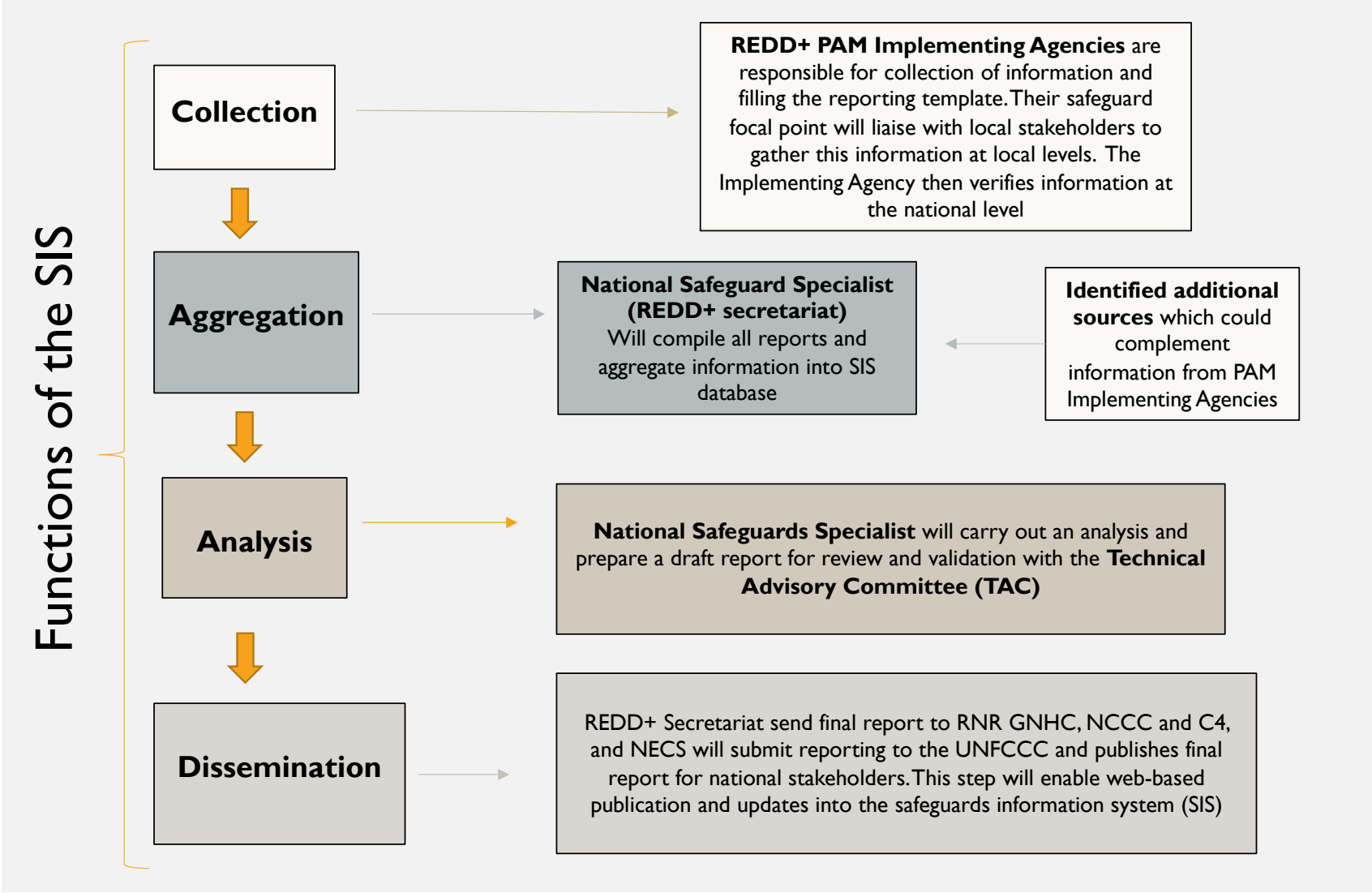
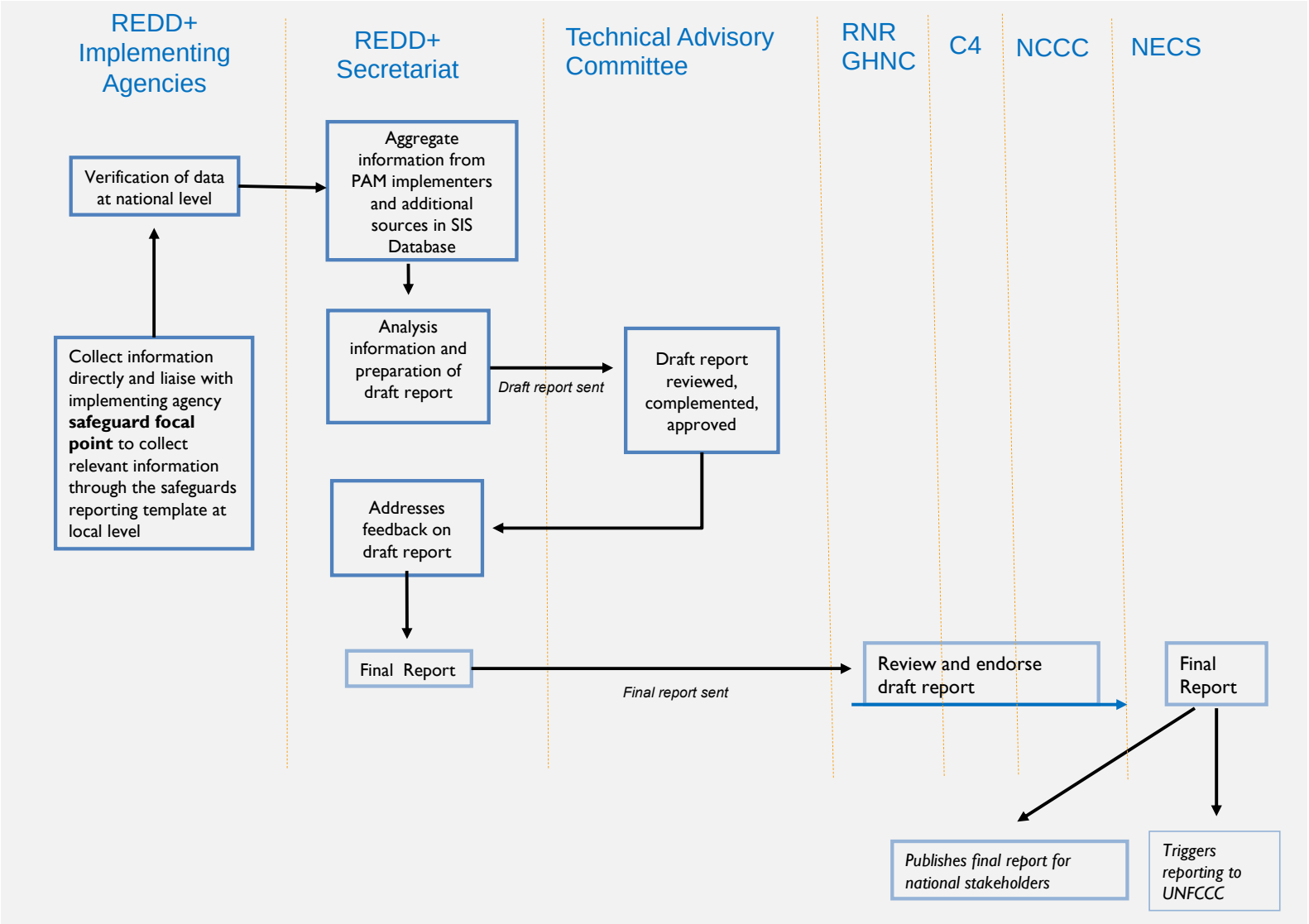


FIGURE 3: SIS PROCESSSIS ESTABLISHMENT AND OPERATIONALIZATION



# Conclusion

This document offers the initial version of the design framework of Bhutan's SIS, including its reporting objectives, functions and institutional arrangements, along with the identification of SIS information needs and relevant sources of information.

This document is a 'living' document and will be updated to reflect any changes and updates on these design elements throughout the operationalization of the SIS. Some actions will need to be taken to establish and operationalise the SIS, including actions necessary to ensure that REDD+ interventions are *implemented* in a manner that is consistent with the UNFCCC REDD+ safeguards. For the SIS to be able to fulfil its essential objective (i.e. provide information on how UNFCCC REDD+ safeguards are addressed and respected), measures need to be taken to ensure the application of such safeguards when undertaking REDD+ interventions.

The following actions are recommended to be undertaken prior to the implementation of REDD+ interventions:

1. **Capacity building**:

The REDD+ Secretariat will determine capacity building needs and priorities that need to be carried out to ensure relevant stakeholders, REDD+ Implementing Agencies and safeguard focal points, fully understand the safeguard requirements and the SIS functions. Consideration should be given to both government and non-governmental stakeholders.

This will be done in combination with the training and capacity building outlined in the ESMF.

2. **SIS website and database**

The need to develop a dedicated SIS website and database will be explored. This process will look at the structure and functioning of the Forest Information Reporting and Monitoring System (FIRMS) online system of the DoFPS because it is an existing functioning system which is designed in a similar manner to what is being proposed for the SIS.

The SIS website will be a tool to enable the dissemination of information, and used for transparency purposes. The database is an internal tool to facilitate the collection, aggregate and analyse the information on how safeguards are being addressed and respected. The **REDD+ Secretariat** will take ownership of the website and associated database. The database will need to be updated in relation to any changes made to the SIS information needs.

3. **Human and financial resources**

The operationalisation of the SIS will require to cover human and financial resources when preparing a dedicated budget for the operationalization of the SIS. It is crucial to have a National Safeguard Specialist, who will be in charge of SIS. The financial cost for hiring of the

National Safeguard Specialist will be included in the budget. At the local level, existing staffs can be trained to be the safeguard focal. The SIS budget will consider costs associated with capacity building activities and training. The scope of this budget will depend on the capacity building activities determined by the REDD+ Secretariat

The SIS budget will also consider costs associated with developing and up keeping of the SIS website and database. It will be necessary to budget for a server for data storage or to rent space in a secure server in another place

# Annex I: Templates for collecting information on safeguards implementation

**PAM Implementing Agency Safeguard Focal Person (FP)** will complete the following template report:

1**. Intervention Area**: _____

**2. Period (Month/year**):_____

**3. REDD+ interventions carried out:**

Please provide a brief synthesis of specific REDD+ interventions carried out

**4. How have the REDD+ interventions been carried out in consistency with the UNFCCC safeguards?**

Please consider how the following aspects have been covered when implementing the REDD+ interventions and provide a data with regards to the qualitative and quantitative elements outlined below. Evidence (e.g. workshops reports, maps, etc) should be attached to this report.

For example, in the case of safeguard D concerning demonstrating 'how the proposed REDD+ interventions were carried out recognising the right to full and effective participation', you should provide a description as to how relevant stakeholders have participated in the implementation of the relevant REDD+ intervention and how the relevant management measures have been applied (if applicable). You should submit supporting documents, such as minutes of participation platforms, minutes of relevant participation/assembly events, etc.

## Safeguard A

| Types of information to be provided to demonstrate how the safeguard has been respected (outcomes) | Information and data to support/demonstrate compliance with the indicator |
|---|---|
| • Description of how the REDD+ strategy is consistent with the objectives of national forest programmes (these have been identified in the PLR analysis document)<br>• Description of how the REDD+ strategy is consistent with the objectives of the various international agreements to which Bhutan is a Party (these are listed in the PLR analysis document) | |

Safeguard B

| Types of information to be provided to demonstrate how the safeguard has been respected (outcomes) | Information and data to support/demonstrate compliance with the indicator |
|---|---|
| **Qualitative**<br>• Description of information sharing/dissemination activities undertaken while developing the project (workshops, newspaper, radio)<br>• Description of requests for information received from the public (types of information requested)<br>• Description of how REDD+ finance (readiness, implementation and results) is expected/has been spent (project budgets or audited spending can be included in annex or provided on request)<br>• Description of monetary (amounts) and non-monetary benefits to be provided from the REDD+ intervention<br>• Outcomes of corruption related investigations undertaken in the context of REDD+<br>• Description of main types of grievances lodged in relation to REDD+ intervention design and implementation<br>• Description of how social, economic and environmental considerations were integrated into the design of the Policy or project<br>• Description of total monetary (amounts disbursed) and non-monetary benefits provided from the REDD+ intervention<br>• Description of how different ministries/departments/agencies were involved in the design and implementation of the REDD+ intervention | |
| **Quantitative**<br>• Number of requests for information addressed/rejected<br>• Percentage of requests received that were rejected/granted (combine) | |

| | |
|---|---|
| • Number of requests for information received<br>• Number of REDD+ related denunciation/investigations/ prosecutions/convictions for corruption<br>• Number of people with statutory access/use rights (permits) (including community) in area before/after REDD+ intervention<br>• Number of people with statutory ownership rights (including community) in area before/after REDD+ intervention<br>• Number of people with restricted customary access/use rights (including community) in area after REDD+ intervention<br>• Number of people that received monetary benefits from the REDD+ intervention (amounts disbursed)<br>• Number of people that received non-monetary benefits from the REDD+ intervention<br>• Number of complaints of discrimination on the basis of gender<br>• Number of women in REDD+ intervention area<br>• Number of women participations in design/implementation of the REDD+ intervention<br>• Number of women identified as beneficiaries for monetary and/or non-monetary benefits in REDD+ intervention area<br>• Number of REDD+ related grievances received by the FGRM in relation to REDD+ intervention design and/or implementation<br>• Number of REDD+ related grievances resolved by the FGRM<br>• Number of REDD+ related grievances not resolved/appealed following<br>• Number of REDD+ related grievances received by the FGRM redirected to the courts<br>• Number of times compensation awarded, and amount of compensation awarded following resolution of grievances (if appropriate)<br>• Number of different ministries/departments involved in the design of the REDD+ intervention<br>• Number of different ministries/departments/agencies involved in the implementation of the REDD+ intervention | |

Safeguard C

| **Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)** | **Information and data to support/demonstrate compliance with the indicator** |
|---|---|
| **Qualitative** | |

| | |
|---|---|
| • Description of how the customs (festivals, rituals) specific to the community are respected during the design and implementation of the REDD+ intervention<br>• Description/number of sacred spaces in REDD+ intervention area before and after<br>• Description of community dispute settlement mechanism in REDD+ intervention area (link to FGRM<br>• Description of any forestry related traditional knowledge (NWFP) that is specific to the community where the REDD+ intervention will/is being implemented<br>• Description of how the forestry related traditional knowledge specific to the community was respected/taken into account (discussions with community asking about their practices, asked whether they want to keep them or use a new practice?) during the design and implementation of the REDD+ intervention | |
| **Quantitative**<br>• Description/number of times the community dispute settlement mechanism was used in REDD+ intervention area (link to FGRM)<br>• Number of Traditional Knowledge Protocols held/developed by the community before/after the REDD+ intervention (ABS agreements) | |

Safeguard D

| **Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)** | **Information and data to support/demonstrate compliance with the indicator** |
|---|---|
| **Qualitative**<br>• Description/mapping of the different types (categories and numbers) of stakeholders 'relevant' to the planned REDD+ intervention<br>• Description of the participatory mechanism/process followed during design of the REDD+ intervention (description and number of workshops, expert meetings)<br>• Description of additional measures taken to ensure participation of vulnerable stakeholders (adapting communication materials to local languages, additional outreach to remote locations etc.)<br>• Description of how the feedback (including opposition to the intervention) was taken into account during design of the REDD+ intervention (modification of design) | |

| | |
|---|---|
| • Description of participatory mechanism/process followed to gather feedback during implementation of the REDD+ intervention<br>• Description of how the feedback was taken into account during implementation of the REDD+ implementation | |
| **Quantitative**<br>• Number of stakeholders consulted during design of REDD+ intervention, by category (men, women, age, profession) | |

Safeguard E

| **Types of information to be provided to demonstrate how the safeguard has been respected (outcomes)** | **Information and data to support/demonstrate compliance with the indicator** |
|---|---|
| **Qualitative**<br>• Baseline information on natural forest cover and biological diversity in area prior and after REDD+ intervention<br>• Description of how the conservation of natural forests and biological diversity was considered during the design of the REDD+ intervention (screening, risk assessment, EIA)<br>• Information on natural forests and biological diversity after REDD+ intervention. Analysis of change<br>• Description of mitigation measures to conserve natural forests and biological diversity included in REDD+ intervention design and implementation<br>• Description of main ecosystem services provided in REDD+ intervention area prior and following to implementation (analysis of change if any loss or enhancement) | |
| **Quantitative**<br>• natural forest cover in area after REDD+ intervention (natural forest cover change)<br>• baseline information on socio-economic conditions in REDD+ intervention area prior to implementation (number of people, average income, main business, access to social services such as schools and hospitals)<br>• Statistics on socio-economic conditions in REDD+ intervention area following implementation (Jobs or businesses created, change in average income, improved access to social services) | |

Safeguards F &G

| Types of information to be provided to demonstrate how the safeguard has been respected (outcomes) | Information and data to support/demonstrate compliance with the indicator |
|---|---|
| **Qualitative**<br>• Description of the actions taken to address the risks of reversals<br>• Description of the actions taken to address the risks of displacement | |
| **Quantitative**<br>• Number of Co2 reduced since REDD+ intervention/implementation<br>• Variation of deforestation rates in neighbouring areas before and after the REDD+ intervention/implementation. | |

**5. How have the REDD+ interventions complied with the relevant World Bank Operational Policies?**

World Bank Operational Policies triggered for REDD+ in Bhutan[26]:

| World Bank Safeguard Policy | Potential to be Triggered under REDD+ in Bhutan |
|---|---|
| OP 4.01: Environmental Assessment | Triggered |
| OP 4.04: Natural Habitats | Triggered |
| OP 4.36: Forest | Triggered |

Describe how the ESMF and relevant World Bank OP and frameworks have been implemented and complied with during the implementation of the REDD+ intervention (this will be determined by the specific monitoring indicators attached to each specific intervention environmental and social management plan)

[26] SESA xxxx

**6. Proposed improvement measures.**

In this section, please identify and describe any proposed improvement measures for addressing any gaps or weaknesses in the application of the safeguards.

# Annex II: draft Terms of Reference (ToR) for National Safeguard Specialist

MAIN RESPONSIBILITIES

**Overall Coordination**

- Oversee coordination with Implementing Agencies in the implementing and reporting of safeguards
- Review information sent by Implementing Agencies and coordinate to gather information from additional sources when required.
- Lead and update SIS website and database
- Lead and coordinate the aggregation of information in REDD+ database
- Lead analysis of information and prepare reports
- Lead and facilitate as needed liaison and contact with non-government organizations (NGOs) and the TAC

**Capacity Building**

- Lead, identify, assess, and monitor overall capacity building needs within the relevant government agencies and REDD+ implementers.
- Lead, develop and administer as needed technical assistance (TA) and other training programs for capacity building.
- Lead in providing safeguard training and prepare and administer relevant capacity development programs.

**Education Requirements**

- Master's Degree, or equivalent, in Anthropology, Sociology, Applied Social Science, Environmental Science or other related fields.
- University degree in Anthropology, Sociology, Applied Social Science, Environmental Science or other related fields combined with specialized experience in similar organization/s, may be considered in lieu of a Master's degree.

**Relevant Experience**

- Suitability to undertake the responsibilities mentioned above at the required level
- At least 5 years of relevant professional experience in safeguards work, or related area and in project administration.
- Excellent oral and written communication skills in English
- Experience working coordinating and working in multi-disciplinary teams