



Report on REDD+ Environmental Safeguards and Multiple Benefits Workshop

10th - 12th October, 2012, Paro, Bhutan



Photograph by Choidup Zangpo, ICS

Organized by;
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UN-REDD
PROGRAMME



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Disclaimer

The workshop was organised by the Watershed Management Division of the Department of Forest and Park Services, Ministry of Agriculture and Forests (MoAF) of the Royal Kingdom of Bhutan.

The workshop was funded by the UN-REDD Programme. The UN-REDD Programme is the United Nations Collaborative Initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

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Summary

As part of the National REDD+ strategy development, a three-day workshop on REDD+ Environmental Safeguards and Multiple Benefits was held from 10 to 12 October, 2012 at Hotel Galing at Paro. The workshop was organized by the Watershed Management Division, Department of Forest and Park Services, Ministry of Agriculture and Forests in collaboration with the UNEP Regional Office for Asia and the Pacific, Bangkok. Around 35 officials from the Ministry of Agriculture and Forests, Dzongkhags, College of Natural Resources, Department of Hydropower Services, NGOs and private individuals attended.

The primary purpose of the workshop was to build national awareness of, and capacity on REDD+ safeguards and multiple benefits in response to the Royal Government of Bhutan's targeted support request to the UN-REDD Programme. It was expected that the workshop would assist Bhutan to develop a national approach to safeguards consistent with the Cancun Agreements and the UN-REDD Programme Social and Environmental Principles and Criteria (SEPC).

Under the United Nations Framework Convention on Climate Change (UNFCCC) countries undertaking REDD+ have agreed to promote and support a set of REDD+ safeguards called the Cancun Safeguards. The UN-REDD Programme has developed a set of Social and Environmental Principles and Criteria (SEPC), which can help countries to address risks and benefits from REDD+ and develop their national approach to safeguards in accordance with UNFCCC guidance.

A national approach to safeguards can be thought of as having two core components that ensure social and environmental risks from REDD+ are reduced and that benefits are enhanced:

1. Addressing and respecting safeguards through the implementation of relevant policies, laws and regulations (PLRs): These PLRs establish the 'content' of the safeguards – in other words, what needs to be adhered to in the implementation of REDD+ activities.
2. Safeguard Information System (SIS): the collection and provision of information on how REDD+ safeguards are being addressed and respected throughout implementation of REDD+ activities. Summary information from the SIS would be provided periodically in National Communications to the UNFCCC.

Using the SEPC as a guiding framework, participants in the workshop identified key risks and benefits from REDD+ activities in Bhutan. A summary list is in Annex 2.

Priority risks identified were:

- Restricted access to forest resources by rural forest-dependent communities
- Increased human and wildlife conflict
- Reduced development opportunities

Priority benefits identified were:

- Increased watershed protection for hydropower generation
- Contribution to Bhutan's constitutional mandate to protect 60% of forests
- Increased aesthetic and recreational value of the Bhutanese landscape

Using the draft UN-REDD Benefit and Risks Tool, which uses the SEPC as a framework, participants identified policies, laws and regulations and programmes relevant to REDD+ safeguards. These are listed in Annex 3. This list may form one of the components in the REDD+ strategy.

List of Abbreviations

BeRT	Benefit and Risks Tool
BDS	Benefit Distribution System
CFO	Chief Forest Officer
COP	Conference of Parties
DoFPS	Department of Forests and Park Services
DzFO	Dzongkhag Forest Officer
FAO	Food and Agriculture Organization of the United Nations
FPIC	Free Prior Informed Consent
LEDP	Lower Emission Developing Planning
FRMD	Forest Resource Management Division
MOAF	Ministry of Agriculture and Forests
NCCC	National Climate Change Committee
NEC	National Environment Commission
NEPA	National Environment Protection Act
NFI	National Forest Inventory
NGO	Non Government Organization
NRDCL	Natural Resource Development Corporation
PES	Payments for Environmental Services
PLR	Policies, laws and regulations
PPLR	Programmes, policies, laws and regulations
REDD	Reducing Emissions from Deforestation and Forest Degradation
SEPC	Social and Environmental Principles and Criteria
TFD	Territorial Forest Division
TWG	Technical Working Group
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WCMC	World Conservation Monitoring Centre
WMD	Watershed Management Division

1. Introduction

The Environmental Safeguards and Multiple Benefits workshop was organised by the Watershed Management Division of the Department of Forest and Park Services (DoFPS), Ministry of Agriculture and Forests (MoAF) Bhutan with financial support from UN-REDD Programme (under its Targeted Support Programme).

REDD+ (Reducing Emissions from Deforestation and forest Degradation, conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks in developing countries) is an effort to create a financial value for the carbon stored in forests, offering incentives for developing countries to reduce overall greenhouse gas emissions from forested lands.

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national REDD+ implementation and international REDD+ policy initiatives.

Currently, the UN-REDD Programme primarily supports countries REDD+ readiness initiatives. It comprises six main work areas, one of which is the promotion of multiple benefits from REDD+. Multiple benefits are the benefits, inclusive of carbon services, which result when forests are maintained, restored or enhanced as part of REDD+.

While REDD+ has the potential to yield substantial social and environmental benefits, there are also potential risks from its implementation. REDD+ safeguards aim to guard against risks, and also enhance benefits from REDD+.

Under the United Nations Framework Convention on Climate Change (UNFCCC) countries undertaking REDD+ have agreed to promote and support a set of REDD+ safeguards called the Cancun Safeguards. These safeguards are necessarily general, as they cover all activities for all countries. The UN-REDD Programme has developed the Social and Environmental Principles and Criteria (SEPC) as a guiding framework to support countries develop their national approaches to safeguards in line with the Cancun Safeguards. The SEPC are consistent with, but more detailed than, the Cancun Safeguards.

In order to apply the SEPC, the UN-REDD Benefit and Risks Tool (BeRT) was developed (in draft). BeRT provides country teams with guiding questions to help think through the complex multi-dimensional problem of developing a REDD+ strategy that addresses risks and maximises benefits.

What are multiple benefits and REDD+ safeguards?

Multiple benefits

When forests are maintained, restored or enhanced as part of REDD+, this will result in multiple benefits like biodiversity conservation and ecosystem services including climate mitigation.

REDD+ safeguards

While REDD+ has the potential to yield substantial social and environmental benefits, there are also potential risks from its implementation. For example, biodiversity may be lost from non-forest ecosystems as a result of afforestation. REDD+ safeguards attempt to guard against these risks, and also enhance benefits from REDD+

The aims of the workshop were to:

1. build awareness and capacity on multiple benefits and environmental REDD+ safeguards; and
2. use both the SEPC and BeRT to help develop Bhutan's approach to REDD+ safeguards, consistent with the UNFCCC Cancun safeguards.

2. Workshop activities

2.1 Introduction to environmental REDD+ safeguards and multiple benefits

On the first day of the workshop, awareness was raised on the concepts of REDD+, the role of the UN-REDD Programme, REDD+ safeguards and multiple benefits through presentations and group learning sessions.

2.1.1 Opening remarks by the Chief Guest

The chief guest, Honorable Director of the Department of Forests and Park Services, welcomed the resource persons Dr. Thomas Enters from UNEP and Ms Lucy Goodman from UNEP-WCMC and all the participants from different agencies. He emphasized that the six functional divisions in the DoFPS should coordinate with each other and then co-ordinate with other agencies in the ministry as well as the other ministries. He said that we are lucky to have Forestry, Agriculture and Livestock Departments under the same ministry, making the collaboration easier.

He then emphasised that REDD+ has to be understood not only by participants at the workshop but also at the grassroots level. He added that knowledge sharing should be continuous and an iterative process. We should use this opportunity to educate the farmers on REDD+, and convince them of the importance of conservation to create a win-win situation. He added that it is important to assess our situation first by reviewing the laws, rules and also the capacity of the stakeholders and implementers and have a clear baseline, so that we know where we have reached and how we have progressed. Cultivating REDD+ would be an opportunity to build the capacities of stakeholders in managing the natural resources more scientifically and sustainably. He mentioned that the DoFPS alone cannot do this and we need to work together with other government and private agencies. The beauty of coming together is bringing diverse information and knowledge.

Lastly, he mentioned the importance of participation by all the stakeholders in developing the National REDD+ Strategy, to create ownership of the strategy that is relevant to the national and local context.

2.1.2 REDD+ and the UN-REDD Programme in Asia and the Pacific

Dr Thomas Enters provided a general overview of REDD+. He presented the five activities of REDD+ as defined by the UNFCCC, and the UN-REDD Programme as a preparedness programme for countries undertaking REDD+ (Figure 1). He highlighted the six work areas that the UN-REDD Programme supports:

- Monitoring, Reporting and Verification
- REDD+ Governance
- REDD+ payments
- Stakeholder engagement
- Safeguards and multiple benefits
- REDD+ as a catalyst for a green economy

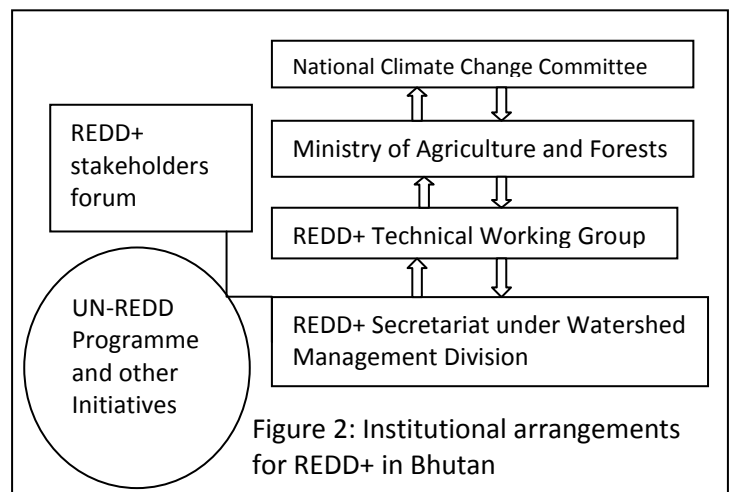


Figure 1: UN-REDD partner countries in Asia and the Pacific

2.1.3 Status of REDD+ in Bhutan

An overview of the nascent REDD+ programme in Bhutan was presented by Mr. Tashi Samdrup, Focal Officer for REDD+ (Figure 2). Its objectives are to:

- reduce emissions from, and enhance carbon stocks of Bhutan’s forest;
- increase multiple benefits from forest through sustainable forest management; and
- ensure that the full value of forest is recognized by all stakeholders.



Activities related to REDD+ readiness to date have included national, regional and district level workshops, the establishment of a REDD+ Technical Working Group and capacity building on carbon estimation and benefit sharing. Further activities towards realising REDD+ are planned. They include preparation of a national REDD+ strategy. An MRV workshop is being conducted by WMD with technical assistance from FAO in November 2012.

2.2 Group work - What activities are likely to be implemented within each REDD+ area?

Participants were asked to identify under each of the five REDD+ activities (Figure 3), listed in paragraph 70 of the UNFCCC Cancun agreements, which specific interventions might be undertaken in the country. Participants identified several more specific activities that could be appropriate in Bhutan.

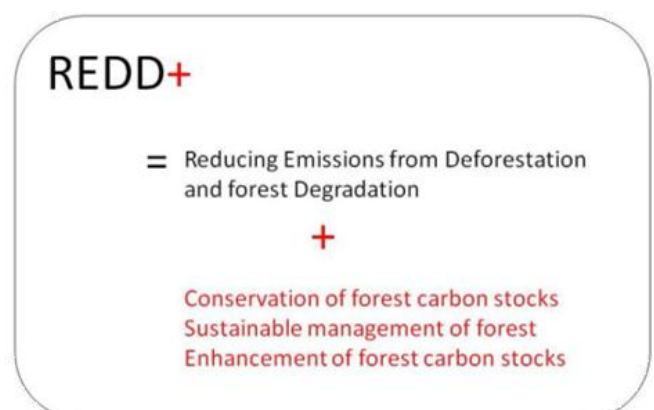


Figure 3: Activities listed in paragraph 70 of the UNFCCC Cancun agreements

These included but were not limited to:

- electrification of rural areas to reduce emissions from forest degradation;
- plantations on barren land to enhance forest carbon stocks;
- national park zonation to conserve forest carbon stocks; and
- capacity building of field staff to manage the forest both inside and outside forest management units (FMUs) for sustainable forest management

A full list of interventions identified is in [Annex 1](#).

2.3 The multiple benefits and risks of REDD+

Ms Lucy Goodman provided the overview on this topic. REDD+ has the potential to result in multiple benefits beyond carbon. However, multiple benefits are not a guaranteed outcome, and there is also a risk of negative impacts from REDD+. Where multiple benefits are realised, there may be trade-offs between carbon benefits and non-carbon benefits, for example a low carbon ecosystem may provide multiple goods like firewood, fodder beyond carbon that their retention would preserve.

REDD+ safeguards can help to enhance the benefits and protect against risks associated with REDD+. Parties to the UNFCCC have agreed to promote and support the UNFCCC's Cancun when undertaking REDD+ (Annex 5). The UN-REDD SEPC and associated BeRT (in draft) can support a country to develop a safeguard approach consistent with the Cancun safeguards.

2.4 Group work – the risks and benefits from REDD+ in Bhutan

In this session, the participants identified the nationally relevant risks and benefits from the potential REDD+ interventions discussed in the first group session. Identified priority risks include:

- Restricted access to forest resources by rural, forest dependent communities
- Increased human and wildlife conflict
- Reduced development opportunities

Some of the key priority benefits identified during this session were:

- Increased watershed protection for hydropower generation
- Contribution to Bhutan's constitutional mandate to protect 60% of forests
- Increased aesthetic and recreational value of the Bhutanese natural landscape

The full list of the risks and benefits identified by the participants is in [Annex 2](#).

3. National approaches to safeguards and drawing on existing processes

The participants gained an understanding of what the components of a national approach to safeguards should be in accordance with the guidance from the UNFCCC, and identified the policies, laws, regulations and programmes, that could be used to build a safeguard policy in Bhutan.

3.1 National approach to safeguards

Ms Lucy Goodman presented the overview of this process. A national approach to safeguards is a country's process to comply with UNFCCC REDD+ safeguards. Such an approach can be thought of as having two core components:

1. Addressing and respecting safeguards through the implementation of relevant policies, laws and regulations (PLRs): These PLRs establish the ‘content’ of the safeguards – in other words, what needs to be adhered to in the implementation of REDD+ activities.
2. Safeguard Information System (SIS): the collection and provision of information on how REDD+ safeguards are being addressed and respected throughout implementation of REDD+ activities. Summary information from the SIS would be provided periodically in National Communications to the UNFCCC.

Developing a national approach to safeguards should be country-driven and there are multiple options on how they might do this. Some possible first steps in developing a national approach are: 1) to identify national risks and benefits; and 2) to identify existing REDD+ relevant policies, laws and regulations, programmes and national monitoring processes which relate to the Cancun safeguards. This will help to ensure that the approach builds on the country’s existing policies and institutions.

3.2 Developing a national approach to safeguards with the UN-REDD Social and Environmental Principles and Criteria as a guiding framework

It was then demonstrated how the UN-REDD SEPC can support the development of a national approach to safeguards in line with the UNFCCC, using the draft Benefit and Risks Tool (BeRT). BeRT can be used to identify risks and benefits in a national programme and highlight programmes, policies, laws and regulations (PPLRs) that may form part of a country’s national approach to safeguards. In this workshop, the participants used BeRT as a first step in developing Bhutan’s approach to safeguards.

3.3 Plenary discussion session – which policies, laws and regulations and programmes are relevant to REDD+ safeguards for non-forest ecosystems in Bhutan

BeRT was originally designed to support countries to address risks and benefits from REDD+ in their UN-REDD National Programmes. For this workshop, tools were adapted from BeRT that supported participants in a preliminary identification of which of its PPLRs could form part of a REDD+ safeguard policy. During the first session, the impacts on non-forest ecosystems from REDD+ were discussed. Some of the key findings from the BeRT exercise from the workshop are presented in Table 1 and are further listed in [Annex 3](#).

Table 1: Programmes, policies, laws and regulations relevant to REDD+ safeguards for non-forest ecosystems in Bhutan.

Section of the Cancun safeguards	Programmes, policies, laws and regulations	How PPLR are relevant
[REDD+ should]... (d) Be consistent with the objective of environmental integrity and take into account the multiple functions of forests and other ecosystems ; ... when undertaking [REDD+] the following ... should be promoted and supported ... (e) That actions are consistent with the conservation of natural forests and biological diversity....	Initial Environmental Examination, Environmental act.	Helps to identify which non-forest land can be planted on without adverse impacts on biodiversity and ecosystem services
	Hydropower Policy of Bhutan 2008	Promotes integrated water catchment management inclusive of forest and non-forest ecosystems

4. National approaches to safeguards, safeguard information systems and next steps

The participants became familiarised with BeRT as a tool to develop a national approach to safeguards, and learned about Safeguard Information Systems (SIS).

4.1 Plenary discussion session – which policies, laws and regulations and programmes, are relevant to environmental REDD+ safeguards for natural forests and their multiple functions

The participants used the sections of the BeRT related to natural forest and their multiple functions. This stimulated a very useful discussion on Bhutan’s safeguard policy. While the Forest and Nature Conservation Act and Rules discourages the practice of clear felling, in reality, clear felling is being practiced in natural forests followed by reforestation by native species.

As a REDD+ activity, this might not be consistent with Cancun safeguard e) which says “[REDD+ actions] ... are not used for the conversion of natural forests”¹. When using the BeRT, it is therefore very valuable to have a multi-stakeholder group that can discuss not only PPLR, but also implementation of PPLR on the ground. The key results stimulated by BeRT on natural forests and the multiple functions of forests are in Table 2 and are further detailed in [Annex 3](#).

Table 2: BeRT outputs on programmes, policies, laws and regulations are relevant to environmental REDD+ safeguards for natural forest and the multiple functions of forests in Bhutan.

Section of the Cancun safeguards	Programmes, policies, laws and regulations	How text is relevant
When undertaking [REDD+] the following ... should be promoted and supported ... (g) Actions to reduce displacement of emissions.	Rural electrification by 2013 Programme	Reduces degradation from fuel wood collection, by reducing the need for fuel wood for light
When undertaking [REDD+] the following ... should be promoted and supported ... (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	Natural forest inventory planned for 2013	Will help identify the location of natural forest in the country, to avoid adverse impacts from REDD+ during the planning process

Noting that this was the first time BeRT was used for this purpose, participants provided the following useful feedback on the BeRT:

- It is valuable to have both people working at the policy level and on the ground carry out the BeRT exercise jointly.
- BeRT content should be shortened and simplified.

¹ The Cancun text does not offer a definition of “conversion”, it is therefore unclear whether clear felling followed by subsequent replanting is covered by the safeguard. The SEPC does provide a definition of conversion (see [here](#)) and activities consistent with the SEPC include clear-felling planted forest and re-planting

- Work prior to the workshop, either through a consultant or small working group, should identify relevant policies, laws and regulations in advance of the exercise to smoothen the process.

4.2 Safeguard information systems

Safeguard Information Systems (SIS) collect and provide data and information to demonstrate how safeguards are being addressed and respected. In line with UNFCCC guidance (Annex 6), it is important to take into account a number of considerations in the development of an SIS, including its transparency, coherence, accessibility, flexibility, cost, repeatability, and the extent to which it can build on existing in-country systems. Key steps in developing an SIS may include: 1) identification of social and environmental indicators; 2) development of an information system methodology; and 3) developing a summary information note. The SEPC and BeRT can be used to help identify relevant monitoring systems that already exist in country, which could be contribute to an SIS.

5. Next steps for Bhutan for pursuing REDD+

The workshop endorsed the following for effective pursuing of REDD+ in Bhutan.

1. The Watershed Management Division of the Department of Forests and Park Services to consider putting the UNFCCC documents and other relevant materials on the MoAF/DoFPS website (<http://www.dofps.gov.bt>) for future reference by workshop participants and other interested parties in Bhutan and beyond.
2. It was deliberated and decided that research into interventions for the REDD+ strategy in Bhutan is crucial. Therefore, the Watershed Management Division should closely work with RDC- Yusipang to explore research interventions for REDD+ programme development in Bhutan.
3. Synthesis of risks and benefits, identified for the workshop report, to be built into the National REDD+ strategy
4. Carry out further work with the Benefit and Risks Tool as a framework to develop the national approach to safeguards for the National REDD+ strategy
5. Seek funding for the national forest inventory through REDD+ readiness finance through development of a 2-4 page concept note to be shared with representatives of donor countries
6. The workshop considered having a similar safeguards workshop covering social issues

6. Closing session:

At the closing session, Honorable Director expressed his satisfaction with the outcome of the workshop. He congratulated the resource persons, Dr Thomas Enters from UNEP and Ms Lucy Goodman from UNEP-WCMC for their valuable contribution to the workshop. He also thanked the organizers and the participants for their contribution and making the workshop a very fruitful one. Subsequently, Honorable Director highlighted the following points in his closing remarks:

- The workshop report should fit in to whole process of REDD + strategy development.
- Social issues should be considered concurrently with environmental ones.
- It is crucial that the officials from the field offices (Dzongkhag, Territorial and Parks) have to be involved or should participate in such workshops as they are focal points for implementing activities related to natural resources management and have wide experiences in dealing with risk and benefits of any natural resources management programme.
- Awareness on natural resources to the end users is very much important. Bhutan needs to change the way it deals with illegal activities now.

- It is crucial to bring in other stakeholders like local leaders, agriculture, livestock, road departments, etc for better information and clarity of the REDD+ programme.
- The workshop report needs to be comprehensible, with next steps mentioned with proper timeline.

Annex 1: Possible REDD+ activities identified by the participants

<p>Reducing emissions from deforestation and degradation</p> <ul style="list-style-type: none"> • Enhancement of people's participation • Rural electrification • Fire management • Promotion of renewable alternate energy • Awareness program and constructing fire line measures, Building capacity for fire management • National park zonation: core area and buffer areas as per national standard 	<p>Conservation of Forest carbon stocks</p> <ul style="list-style-type: none"> • Promotion of REDD+ in existing National Parks • Improvement of forest management unit management plan
<p>Sustainable management of Forest</p> <ul style="list-style-type: none"> • Asses the forest resources through NFI to understand the extent of forest degradation and the available stock. (FRMD, TD & RDC) • Review the current Silviculture system. (RDC, FRMD) • Reduction of wood waste & using the wastes in environmental friendly products./alternatives (FRMD, NRDCL, WBI) • To make use of lesser-known timber value species for commercial purposes this leads to unsound forest. (SFED,TD, DzFO, RDC) • Build capacity of the field staffs to actually manage the forest both within & outside FMU's.(FIMS under FRMD) • (Strengthen CF/PF programme which will strengthen the people's participation, sustainable management of non-wood forest products. (SFED, DzFO) • Create/improve a mechanism on information distribution and generation. (FIMS) • Research on silviculture systems & species that grows better in different areas. (RDC) • Bring in more areas under sustainable forest management programmes. 	<p>Enhancement of forest carbon stocks</p> <p>Afforestation</p> <ul style="list-style-type: none"> • Plantation of native species. • Key implementer-TDs/Parks/DzFS/ Communities/private sectors. • Plantation on SFD • Promotion of the plantation of endemic species. • Key implementers- TDs/DzFS • Private Plantation • Encourage mixed species plantation - TDs/DzFS • Improving and Formation of new Community Forest and private forest <p>Reforestation</p> <ul style="list-style-type: none"> • Plantation of native species in timber harvested areas. • Key implementer-NRDCL/private companies <p>Rehabilitation /Enrichment / Restoration</p> <ul style="list-style-type: none"> • Plantation in the degraded/mining /land management areas. • Key implementer-DzFS, companies • Plantation in the areas destroyed by forest fire. • Key implementers-TDs/DzFS/ Communities/ Volunteers <p>Establishment of Bamboo plantation</p> <ul style="list-style-type: none"> • Restore degraded /barren areas through plantation of commercial bamboo species. • Key implementer-communities/DzFS individuals

Annex 2: Risks and Benefits to Bhutan from REDD+ activities

	Benefits	Risks
Group 1	Aesthetic and recreation Watershed protection for hydropower generation Timber and NWFPs (Sustainable)	Forgo Developmental activities Change in Government agenda/policies
Group 2	<ul style="list-style-type: none"> • Micro-corridor for animal migration • Fire line • Increase population of species • Stream ecosystem maintained Non-forest ecosystem intact	Uncertainty/lack of assured market Visual Scarring <ul style="list-style-type: none"> • No undergrowth • Increased invasive species
Group 3	Contribute to meeting the constitutional mandate of maintaining 60% forest cover and GNH pillar- Environment Conservation Improved livelihood through generation of ecosystem services (hydroelectricity, ecotourism, employment opportunities etc.) Enhance knowledge capacity of stakeholder in sustainable forest management	Human-wildlife conflict Human-wildlife conflict- Restriction on use of resources (forest resources) Loss of non-forest ecosystem
Group 4	Funds (incentives)- Enhance income and employment Enhance carbon stock Ecosystem regulation (PES) and stream base flow	Loss of wetlands Increase in pest and Diseases Conversion of natural Forests (change in forest types)

Annex 3: Bhutan's Policies Laws and Regulations their relevance to the Cancun safeguards and UN-REDD SEPC

Natural forest – [UN-REDD Social and Environmental Principle 5](#)

Relevant Cancun safeguard

(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;

Programmes, policies, laws and regulations relate to the Cancun safeguards above	Describe how the programmes, policies, laws and regulations will strengthen the REDD+ strategy with respect to this safeguards
Rural electrification by 2013	Reducing degradation from firewood collection and subsequent damage to the natural forest
Briquettes Programme	Reducing degradation from firewood collection and subsequent damage to the natural forest
Wood wastage programme	Reducing the pressure on forests from timber harvesting by more effectively recovering sawn boards from round wood
People's participation in forest management	Awareness raising to reduce deforestation
National forest inventory	Improved understanding of forest distribution for implanting safeguards related to natural forest
Middle path (philosophy)	Reducing greed and respect for environment, contributing to the conservation of natural forests and biological diversity
Livestock policy to improve livestock farming	Reduced grazing pressure and subsequent damage to the natural forest
Master plan for forestry for Bhutan 1991	Contains definitions for degradation, thus improving understanding of forest degradation status for safeguard implementation

Multiple functions of forest - [UN-REDD Social and Environmental Principle 6](#)

Relevant Cancun safeguard:

(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; 1

Programmes, policies, laws and regulations relate to the Cancun safeguards above	Describe how the programmes, policies, laws and regulations will strengthen the REDD+ strategy with respect to this safeguards
Initial Environmental Examination, Environmental Act	Helps to identify which non-forest land can be planted on without adverse impacts on biodiversity and ecosystem services
Hydropower Policy of Bhutan 2008	Promotes integrated water catchment management inclusive of forest and non-forest ecosystems
Rural electrification by 2013 Programme	Reduces degradation from fuelwood collection, by addressing the driver

Non forest ecosystems – [UN-REDD Social and Environmental Principle 7](#)

Relevant Cancun safeguard:

(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;

(g) Actions to reduce displacement of emissions.

Programmes, policies, laws and regulations relate to the Cancun safeguards above	Describe how the programmes, policies, laws and regulations will strengthen the REDD+ strategy with respect to this safeguards
FAO forest definition will be used for national forestry inventory, as per National Forest Policy of Bhutan 2011.	To help identify forest and non forest ecosystems
Initial Environmental Examination, Environmental Act.	Helps to identify which non-forest land can be planted on without adverse impacts on biodiversity and ecosystem services
Forest and Nature Conservation Act	Could protect valuable non-forest ecosystems
Vision and strategy for Nature Conservation 2003	Could protect valuable non-forest ecosystems
Water Act 2011	May protect the water bodies within non-forest ecosystems
Land Act 2007	Protects Grazing lands (a non-forest ecosystem)

Programmes, policies, laws and regulations relate to the Cancun safeguards above	Describe how the programmes, policies, laws and regulations will strengthen the REDD+ strategy with respect to this safeguards
Biodiversity Act 2003	Protection of genetic resources in non-forest lands
National Environment Protection Act 2007	Protection of genetic resources in non-forest lands
Hydropower Policy of Bhutan 2008	Promotes integrated water catchment

Annex 4: UN-REDD Social and Environmental Principles and Criteria

The UN-REDD Social and Environmental Principles and Criteria (SEPC) have the following two objectives:

1. To help address social and environmental issues within the UN-REDD National Programmes and other UN-REDD funded activities.
2. To support countries in developing national approaches to safeguards in line with the decisions made under the UNFCCC.

The SEPC have a supporting document which can be found here, background to their development and their associated glossary can be found on <http://www.un-redd.org>.

Principle 1 – Apply norms of democratic governance, as reflected in national commitments and Multilateral Agreements
Criterion 1 – Ensure the transparency and accountability of fiduciary and fund management systems linked to REDD+ activities
Criterion 2 – Ensure legitimacy and accountability of all bodies representing relevant stakeholders, including through establishing responsive feedback and grievance mechanisms
Criterion 3 – Ensure transparency and accessibility of information related to REDD+, including active dissemination among relevant stakeholders
Criterion 4 – Ensure the full and effective participation of relevant stakeholders in design, planning and implementation of REDD+ activities, with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups
Criterion 5 – Promote coordination, efficiency and effectiveness among all agencies and implementing bodies relevant to REDD+ ²
Criterion 6 – Promote and support the rule of law, access to justice and effective remedies ³
Principle 2 – Respect and protect stakeholder rights in accordance with international obligations⁴
Criterion 7 – Respect and promote the recognition and exercise of the rights of indigenous peoples, local communities and other vulnerable and marginalized groups to land, territories and resources, including carbon
Criterion 8 – Promote and enhance gender equality, gender equity and women’s empowerment
Criterion 9 – Seek free, prior and informed consent of indigenous peoples and respect and uphold the decision taken (whether consent is given or withheld) ⁵

² Including cooperation between countries, across different levels of government and with sectors outside the forest sector.

³ In accordance with international human rights laws and including supporting access to complaints and redress mechanisms for vulnerable and marginalised groups.

⁴ This includes human rights, statutory and customary rights, and collective rights.

⁵ In accordance with the UN-REDD Guidelines on FPIC

Criterion 10 – Ensure there is no involuntary resettlement as a result of REDD+
Criterion 11 – Respect and protect traditional knowledge, and cultural heritage and practices ⁶
Principle 3 – Promote sustainable livelihoods and poverty reduction
Criterion 12 – Ensure equitable, non-discriminatory and transparent benefit sharing among relevant stakeholders with special attention to the most vulnerable and marginalized groups ⁷
Criterion 13 – Protect and enhance economic and social well-being of relevant stakeholders, with special attention to the most vulnerable and marginalized groups ⁸
Principle 4 – Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programmes, and commitments under international conventions and agreements
Criterion 14 – Ensure consistency with and contribution to national climate policy objectives, including those of mitigation and adaptation strategies and international commitments on climate
Criterion 15 – Address the risk of reversals of REDD+ achievements, including potential future risks to forest carbon stocks and other benefits to ensure the efficiency and effectiveness of REDD+
Criterion 16 – Ensure consistency with and contribution to national poverty reduction strategies and other sustainable development goals (including those outlined under the Millennium Development Goals framework), including alignment with ministries’ and sub-national strategies and plans that may have an impact on, or be affected by the forest sector and/or land use change
Criterion 17 – Ensure consistency with and contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans), other environmental and natural resource management policy objectives, national forest programmes, and international commitments on the environment
Principle 5 – Protect natural forest⁹ from degradation and/or conversion
Criterion 18 – Ensure that REDD+ activities do not cause the conversion of natural forest ¹⁰ to planted forest, unless as part of forest restoration, and make reducing conversion of forests to other land uses (e.g. agriculture, infrastructure) a REDD+ priority
Criterion 19 – Avoid or minimise degradation of natural forest ¹¹ by REDD+ activities and make reducing degradation due to other causes (e.g. agriculture, extractive activities, infrastructure) a REDD+ priority
Criterion 20 – Avoid or minimise indirect land-use change impacts of REDD+ activities on forest carbon stocks, biodiversity and other ecosystem services

⁶ Including traditional livelihoods and customary use of forest land and resources, and ensuring that benefits from this knowledge are equitably shared

⁷ Noting that benefits may include both financial and non-financial benefits as defined in the glossary

⁸ Taking into account indigenous peoples' development visions, concepts and their traditional livelihoods

⁹ This document uses the term « natural forest » synonymously with « naturally regenerated forest » as per definition provided by FAO.

¹⁰ Ib idem.

¹¹ Ib idem.

Principle 6 – Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services

Criterion 21 – Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders’ values

Criterion 22 – Ensure that planted and natural forests¹² are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts

Principle 7 – Avoid or minimise adverse impacts on non-forest ecosystem services and biodiversity

Criterion 23 – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly from REDD+ activities

Criterion 24 – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting indirectly from REDD+ activities (including those of indirect land-use change impacts and intensification of land use)

¹² *Ib idem.*

Annex 5: the UNFCCC Cancun Guidance and Safeguards

(FCCC/CP/2010/7/Add.1)

Appendix I: Guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries

1. The activities referred to in paragraph 70 of this decision should:

- (a) Contribute to the achievement of the objective set out in Article 2 of the Convention;
- (b) Contribute to the fulfilment of the commitments set out in Article 4, paragraph 3, of the Convention;
- (c) Be country-driven and be considered options available to Parties;
- (d) Be consistent with the objective of environmental integrity and take into account the multiple functions of forests and other ecosystems;
- (e) Be undertaken in accordance with national development priorities, objectives and circumstances and capabilities and should respect sovereignty;
- (f) Be consistent with Parties' national sustainable development needs and goals;
- (g) Be implemented in the context of sustainable development and reducing poverty, while responding to climate change;
- (h) Be consistent with the adaptation needs of the country;
- (i) Be supported by adequate and predictable financial and technology support, including support for capacity-building;
- (j) Be results-based;
- (k) Promote sustainable management of forests;

2. When undertaking the activities referred to in paragraph 70 of this decision, 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;¹
- (f) Actions to address the risks of reversals;
- (g) Actions to reduce displacement of emissions.

Annex 6: The UNFCCC text on Safeguard Information Systems

(UNFCCC/CP/2011/9/Add.2)

Decision 12/CP.17 Guidance on systems for providing information on how safeguards are addressed and respected and modalities relating to forest reference emission levels and forest reference levels as referred to in decision 1/CP.16

The Conference of the Parties, Recalling decisions 2/CP.13, 4/CP.15 and 1/CP.16,

Recalling also decision 1/CP.16, paragraphs 69–71 and appendices I and II,

Noting that guidance on systems for providing information on how safeguards referred to in appendix I to decision 1/CP.16 are addressed and respected should be consistent with national sovereignty, national legislation and national circumstances,

Recognizing the importance and necessity of adequate and predictable financial and technology support for developing all of the elements referred to in decision 1/CP.16, paragraph 71,

Being aware of the need for any modalities for the construction of forest reference levels and forest emission reference levels to be flexible so as to accommodate national circumstances and capabilities, while pursuing environmental integrity and avoiding perverse incentives,

I. Guidance on systems for providing information on how safeguards are addressed and respected

1. *Notes* that the implementation of the safeguards referred to in appendix I to decision 1/CP.16, and information on how these safeguards are being addressed and respected, should support national strategies or action plans and be included in, where appropriate, all phases of implementation referred to in decision 1/CP.16, paragraph 73, of the activities referred to in paragraph 70 of the same decision;

2. *Agrees* that systems for providing information on how the safeguards referred to in appendix I to decision 1/CP.16 are addressed and respected should, taking into account national circumstances and respective capabilities, and recognizing national sovereignty and legislation, and relevant international obligations and agreements, and respecting gender considerations:

- a) Be consistent with the guidance identified in decision 1/CP.16, appendix I, paragraph 1;
- b) Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis;
- c) Be transparent and flexible to allow for improvements over time;
- d) Provide information on how all of the safeguards referred to in appendix I to decision 1/CP.16 are being addressed and respected;
- e) Be country-driven and implemented at the national level;
- f) Build upon existing systems, as appropriate;

3. *Agrees also* that developing country Parties undertaking the activities referred to in decision 1/CP.16, paragraph 70, should provide a summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of the activities;

4. *Decides* that the summary of information referred to in paragraph 3 above should be provided periodically and be included in national communications, consistent with relevant decisions of the Conference of the Parties on guidelines on national communications from Parties not included in Annex I to the Convention, or communication channels agreed by the Conference of the Parties;

5. *Requests* the Subsidiary Body for Scientific and Technological Advice, at its thirty-sixth session, to consider the timing of the first presentation and the frequency of subsequent presentations of the summary of information referred to in paragraph 3 above, with a view to recommending a decision on this matter for adoption by the Conference of the Parties at its eighteenth session;

6. Also *requests* the Subsidiary Body for Scientific and Technological Advice, at its thirty-sixth session, to consider the need for further guidance to ensure transparency, consistency, comprehensiveness and effectiveness when informing on how all safeguards are addressed and respected and, if appropriate, to consider additional guidance, and to report to the Conference of the Parties at its eighteenth session;

Annex 7: Participants

Sl.No	Name	Organisation	Email Address
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38	Lucy Goodman	UNEP-WCMC	lucy.goodman@unep-wcmc.org
39	Kinley Dem	WMD, DoFPS	kdema2010@gmail.com
40	Chukey Wangchuk	BTFEC	wangchuk@gmail.com

Annex 8: Compacted Agenda

Agenda

10th October 2012

Time	Activity	Facilitator/Presenter
8.00 – 8.45	Arrival of Participants & Registration	Pema Dema/Kinley Dem
8.45 – 9.00	Arrival of Chief Guest	Hon'ble Director, DoFPS
9:00 – 9.20	Welcome address Objectives of workshop	Tshering Gyeltshen, Offtg. Chief
9.20 – 9:30	Opening Remarks	Chief Guest
9.30 – 9.40	Brief introduction to self from each participant	
9.40 – 10.10	What is REDD+? The UN-REDD Programme in the Asia-Pacific region	Thomas Enters
10.10 – 10.30	Tea Break	
10.30 – 11.00	What is the status of REDD+ in Bhutan? REDD+ institutions in Bhutan	Tashi Samdrup, Focal Officer
11.00 – 11.45	Identifying REDD+ activities in Bhutan What measures is Bhutan likely to implement within each REDD+ activity? Group A – Reducing emissions from deforestation and degradation Group B – Conservation of forest carbon stocks Group C – Sustainable management of forests Group D – Enhancement of forest carbon stocks (including afforestation/reforestation)	Lucy Goodman – introduction to breakout group format and questions
11.45 – 12.30	Reporting back from breakout groups activities identified and plenary discussion	B.B Chhetri, Specialist
12.30 – 13.30	Lunch	
13.30 – 14.30	Multiple benefits and risks of REDD+ What are multiple benefits? What are environmental REDD+ safeguards?	Lucy Goodman
14.30 – 14.45	Introduction to break out group	Lucy Goodman
14.45 – 15.45	Identifying benefits and risks for REDD+ in Bhutan Group A – Reducing emissions from deforestation and degradation Group B – Conservation of forest carbon stocks Group C – Sustainable management of forests Group D – Enhancement of forest carbon stocks (including afforestation/reforestation)	
15.45 – 16.15	Tea Break	
16.15 – 16.45	Report back from break out groups and plenary discussion	Thomas Enters to facilitate Minute takers to report
16.45 – 17.15	Conclusions from day 1 and plans for day 2	Plans - Lucy Goodman

11th October 2012


Time	Activity	Facilitator/Presenter
9.00 – 9.30	National approaches to safeguards	Lucy Goodman
9.30 – 10.00	Which of Bhutan’s policies, laws and regulations (PLRs) are relevant to applying environmental REDD+ safeguards?	Dr. D. B Dhitali/Dr. Purna
10.00 – 10.30	UN-REDD Environmental Principles and Criteria and the Benefit and Risks Tool	Lucy Goodman
10.30 - 11.00	Tea	
11.00 - 12.00	Plenary session – criterion 18 National context and relevant Policies, Laws, Regulations and Programmes relevant to environmental REDD+ safeguards	Lucy Goodman to lead Second person to write
12.00 - 13.15	Breakout groups Group A - Principle 4 – policy coherence Group B - Principle 5 – natural forest Group C - Principle 6 – multiple functions of forest Group D - Principle 7 – impacts on non-forest ecosystems	Each group will need a facilitator and a scribe to record the discussion on the breakout aid on the group laptop.
13.15 - 14.15	Lunch	
14.15 - 14.30	Initial feedback on using the tool	Chance for individuals to ask questions on the tool itself and how it works
14.30 - 15.30	Group rotation Group A -> Principle 5 Group B -> Principle 6 Group C -> Principle 7 Group D -> Principle 4	To encourage gap filling by people with different expertise, groups will rotate to a new Principle. Participants should build on the comments entered by the previous group, identifying where additions/differences of opinions have occurred.
15.30 - 16.00	Tea	
16.00 – 16.15	Further feedback on tool use	Plenary
16.15 – 17.00	Group rotation Group A -> Principle 6 Group B -> Principle 7 Group C -> Principle 4 Group D -> Principle 5	
17.00 – 17.45	Groups review added input to original Principle and prepare summary for next day	Facilitated by Thomas Enters/ Lucy Goodman
17.45 – 18.00	Conclusions from day 2 and plans for day 3	Jigme Tenzin

12th October 2012

Time	Activity	Facilitator/Presenter
9.00 - 10.00	Review outputs from BeRT and explore subsequent policy needs	Discussion session Facilitated by Thomas Enters and Lucy Goodman
10.00 - 10.30	Safeguard Information Systems	Lucy Goodman
10.30 - 11.00	Tea	
11.00 - 12.00	Safeguard Information Systems Break out groups Group A - Principle 4 Group B - Principle 5 Group C - Principle 6 Group D - Principle 7	These breakout groups will be to discuss the existing processes for monitoring ecosystem services and biodiversity and determine which could be used to build a SIS
12.00 - 13.00	Safeguard Information Systems – Report back from breakout groups Subsequent policy needs	Based on the reports from the break out groups - what principles or criteria may not be covered by existing processes?
13.00 - 14.00	Lunch	Thomas, Lucy and Tashi to plan final session based on workshop outputs
14.00 - 16.00	Next steps and recommendations	Consultants
16.00 - 16.45	Concluding remarks	Director, DOFPS

Rapporteur: (1) Mr. Jigme Tenzin, WMD; (2) Mr. Younten Phuntsho, FRMD, (3) Ms. Kuenzang Om, WMD; (4) Ms. Kinley Dem, WMD


Annex 9: Presentation of how the UN-REDD Environmental criteria are consistent with the Cancun safeguards



How SEPC is consistent with UNFCCC

		UNFCCC safeguards						
		a	b	c	d	e	f	g
SEPC criteria	Criterion 15						X	
	Criterion 16	X						
	Criterion 17	X						
	Criterion 18					X		
	Criterion 19					X		
	Criterion 20					X		X
	Criterion 21					X		
	Criterion 22					X		
	Criterion 23					X		X
	Criterion 24					X		X

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How SEPC is consistent with UNFCCC

a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;

Criterion 16 – Ensure **consistency** with and contribution to national poverty reduction strategies and other **sustainable development goals** (including those outlined under the Millennium Development Goals framework), including alignment with ministries’ and **sub-national strategies and plans** that may have an impact on, or be affected by the [forest sector](#) and/or [land use change](#)

Criterion 17 – Ensure **consistency** with and contribution to **national biodiversity conservation policies** (including National Biodiversity Strategies and Action Plans), other **environmental** and [natural resource management policy objectives](#), [national forest programmes](#), and **international commitments** on the environment

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How SEPC is consistent with UNFCCC

*(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**;*

Criterion 18 – Ensure that REDD+ activities do not **cause the [conversion of natural forest to planted forest](#)**, unless as part of forest restoration, and make reducing conversion of forests to other land uses (e.g. agriculture, [infrastructure](#)) a REDD+ priority

Criterion 19 – **Avoid or minimise [degradation of natural forest](#)** by REDD+ activities and make reducing [degradation](#) due to other causes (e.g. agriculture, [extractive activities](#), [infrastructure](#)) a REDD+ priority

Criterion 20 – Avoid or minimise [indirect land-use change](#) impacts of REDD+ activities on [forest carbon stocks](#), biodiversity and other [ecosystem services](#)

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How SEPC is consistent with UNFCCC

*(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**;*

Criterion 21 – Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the [multiple functions of forest](#) and the benefits they provide, respecting local and other stakeholders' values

Criterion 22 – Ensure that [planted](#) and [natural forests](#) are managed to maintain and enhance [ecosystem services](#) and biodiversity important in both local and national contexts

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How SEPC is consistent with UNFCCC

*(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**;*

Criterion 23 – Avoid or minimise adverse impacts on [carbon stocks](#), other [ecosystem services](#) and biodiversity of non-forest ecosystems resulting directly from REDD+ activities

Criterion 24 – Avoid or minimise adverse impacts on [carbon stocks](#), other [ecosystem services](#) and biodiversity of non-forest ecosystems resulting indirectly from REDD+ activities (including those of [indirect land-use change](#) impacts and intensification of land use)

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How SEPC is consistent with UNFCCC

(f) Actions to address the risks of reversals;

Criterion 15 – Address the risk of [reversals](#) of REDD+ achievements, including potential future risks to [forest carbon stocks](#) and other benefits to ensure the efficiency and effectiveness of REDD+

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How SEPC is consistent with UNFCCC

g) Actions to reduce displacement of emissions.

Criterion 20 – Avoid or minimise [indirect land-use change](#) impacts of REDD+ activities on [forest carbon stocks](#), biodiversity and other [ecosystem services](#)

Criterion 23 – Avoid or minimise adverse impacts on [carbon stocks](#), other [ecosystem services](#) and biodiversity of non-forest ecosystems resulting directly from REDD+ activities

Criterion 24 – Avoid or minimise adverse impacts on [carbon stocks](#), other [ecosystem services](#) and biodiversity of non-forest ecosystems resulting indirectly from REDD+ activities (including those of [indirect land-use change](#) impacts and intensification of land use)

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