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HCV RESOURCE NETWORK

ASSESSOR LICENSING SCHEME

HCSA

HIGH CARBON STOCK APPROACH

HCV-HCSA
ASSESSMENT MANUAL

For use during integrated HCV-HCSA assessments

This HCV-HCSA Assessment Manual was prepared by Proforest and Daemeter for the HCV Resource Network (HCVRN) Assessor Licensing Scheme (ALS) and the High Carbon Stock Approach (HCSA). For enquiries and feedback on the use of this manual and supporting documents please contact:

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For manual updates and information on the HCV Resource Network Assessor Licensing Scheme visit:

www.hcvnetwork.org/als

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LIST OF ACRONYMS

AGB	Above ground biomass
ALS	HCV Assessor Licensing Scheme
AOI	Area of Interest
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
FPIC	Free Prior and Informed Consent
HCS	High Carbon Stock
HCSA	High Carbon Stock Approach
HCV	High Conservation Value
HCVRN	High Conservation Value Resource Network
HPP	High Priority Patch
ICLUP	Integrated Conservation and Land Use Plan
IUCN	International Union for Conservation of Nature
LiDAR	Light Detection and Ranging (a remote sensing method)
LPP	Low Priority Patch
MPP	Medium Priority Patch
MOU	Memorandum of Understanding
NGO	Non-governmental organisation
NTFP	Non-timber forest products
SEIA	Social and Environmental Impact Assessment
SIA	Social Impact Assessment

Part 1: Background

1.1 INTRODUCTION

On the ground, HCV and HCSA assessments have been carried out separately, by different teams, and often at different times. It is recognised by both the High Conservation Value Resource Network (HCVRN) and the High Carbon Stock Approach (HCSA) Steering Group that the integration of the HCV and HCSA assessments and quality control processes will allow for greater efficiencies in team deployment, reduction of costs and avoidance of stakeholder confusion over multiple teams conducting consultations. To this end, in 2015, the HCSA Steering Group established the High Conservation Value (HCV) – High Carbon Stock (HCSA) – Free, Prior and Informed Consent (FPIC) Integration Working Group. The Integration Working Group's efforts culminated in the production of HCSA Toolkit Module 3: Integration of HCV, HCSA and FPIC in May 2017. Module 3 serves as an overview and guide to delivering the HCV, FPIC and HCSA value-based processes simultaneously in the field.

It was decided that, going forward, **integrated HCV-HCSA-FPIC assessments are required (i.e. HCSA assessments must be conducted as part of an integrated assessment), and that quality control of assessment reports will be conducted by the HCVRN Assessor Licensing Scheme (ALS).** This required the production of a more detailed technical manual on integrated assessments.

Early days for a new system: The production of this manual and the launch of integrated HCV-HCSA assessments does not mean that now HCV-HCSA assessments will be perfectly integrated and efficient. However, HCV and HCSA experts will now be working together as members of one team, sharing data and interpreting results together. Over time, it is assumed that both HCV and HCSA experts will learn more about each other's work. As more experience is gained and more guidance is produced – the integration will no doubt improve.

It is important to understand that HCV and HCSA are both approaches and practical assessment tools. However, FPIC is neither an assessment nor a tool; it is a process and way of doing business that requires an attitudinal shift towards empowering communities to be at the centre of land use planning and conservation priority setting that affects their lands. Module 3 focuses on the technical aspects of HCV and HCS approaches and the key aspects of FPIC that are integral to an HCV-HCSA assessment. It is for this reason, that the technical manual is called the **HCV-HCSA Assessment Manual**. It is not called the HCV-HCSA-FPIC Assessment Manual, but that does not mean that FPIC can be side-lined during an integrated assessment. **This manual will highlight where and how FPIC procedures need to be included in an integrated assessment**. The HCSA Toolkit has a module dedicated to social requirements (Module 2), where FPIC is covered in more detail. Also, an implementation guide is being produced to provide further practical guidance on fulfilling the HCSA social requirements.

Starting in 2016, the HCVRN led on the drafting of this manual. Upon publication of the HCSA Toolkit Module 3 in May 2017, it was necessary to ensure that Module 3 and this manual were harmonised. From May – July 2017, the HCVRN led on the editing of the manual, and conducted a 30-day public consultation, resulting in nearly 300 comments from interested stakeholders. Therefore, this manual is the product of input from diverse stakeholders including HCSA and HCV practitioners, companies, NGOs and social and environmental experts. One of the tasks of the editor was to sift through comments calling for more detailed prescriptive guidance vs. suggestions for more flexibility, so no doubt the manual falls short of pleasing everyone. HCV-HCSA assessments are still relatively new, and lessons are being learned along the way. Because of this, it is likely that this manual will need to be periodically updated based on practical field testing.

1.2 WHAT IS THE PURPOSE OF THIS MANUAL?

This manual is the official reference document for HCV-HCSA assessments. It is primarily targeted at guiding assessment teams through the HCV-HCSA assessment process. However, the manual is also useful for Organisations[1] commissioning HCV-HCSA assessments and other stakeholders interested in the technical aspects of the assessment process and the details of HCVRN ALS quality control.

With the publication of this manual, it is important to understand that:

- This manual is the technical reference document for integrated assessments. HCSA Toolkit Module 3 does not need to be used during an assessment, but it is useful for a more general audience.
- All HCSA assessments must be conducted as HCV-HCSA assessments.[2]
- The HCSA quality assurance system for HCSA assessment reports based on peer reviews of the assessment is no longer valid for assessments beginning after the publication of this manual. Instead, quality control of HCV-HCSA assessments has been transferred to the HCVRN Assessor Licensing Scheme (ALS)[3].
- HCV-HCSA assessments must be led by an assessor with an ALS licence.
- This manual is designed to help Organisations who have made commitments to protect HCS forests, HCVs, peat and to respect the FPIC of local people, to implement these commitments on the ground.
- This manual can be used for integrated assessments in any commodity context. However, it is primarily targeted at contexts where there is one large land owner or Organisation with rights to develop the land and produce commodity agriculture or forest products in fragmented (< 80% forest cover) tropical forests. It is not adapted to a smallholder context, nor to a high forest cover landscape context – both of which are the subject of working groups within the HCSA.
- HCV-only assessments will continue under the HCVRN ALS, with HCV-only ALS guidance documents, reporting templates and quality control documents.

1.3 WHO CAN LEAD AN HCV-HCSA ASSESSMENT?

An HCV-HCSA assessment must be led by an assessor with an ALS licence[4]. At least two assessment team members (including the lead assessor) must be registered HCS approach practitioners. At least one

1. The term “Organisation” will be used throughout this manual to refer to the entity responsible for commodity production and for commissioning the HCV-HCSA assessment. This can be considered synonymous with operator, project developer, company, etc.
2 The exception is for HCSA assessments conducted in other contexts, not currently covered in the HCSA Toolkit (e.g. high forest cover landscapes and smallholder landscapes). Contact the HCSA for more information.
3 See section 2.8 for an explanation of the ALS quality control system.
4 Provisional or full licence

member of the assessment team must be a GIS and remote sensing expert. In addition, there must be at least one team member with social expertise, including in relation to community facilitation and participatory mapping[5]. Team members must be able to communicate appropriately (i.e. respectful of local cultures, using appropriate methods, using language interpreters) and effectively with a range of stakeholders. See Annex 1 for terms of reference for HCV-HCSA assessment teams.

1.4 HOW TO USE THIS MANUAL

To avoid duplication, this manual is designed to be used in combination with other reference documents (Box 1).

BOX 1: REFERENCE DOCUMENTS

COMMON GUIDANCE FOR HCV IDENTIFICATION

This document provides an explanation of the six HCV categories and gives examples of useful data sources, methods and possible HCVs. The current version of the HCV definitions can be found on the HCVRN website.

COMMON GUIDANCE FOR HCV MANAGEMENT AND MONITORING

This document provides useful guidance on field methods for HCV monitoring (also useful for HCV identification), threat identification and general management recommendations. Additionally, it provides guidance on principles of management and monitoring, and how to plan and implement such activities.

HCS APPROACH TOOLKIT

The Toolkit is comprised of seven modules, including social requirements, integration of HCV, HCSA and FPIC and technical modules on forest stratification and patch analysis.

SOCIAL REQUIREMENTS IMPLEMENTATION GUIDELINES

This document is in preparation, and will provide practical guidance on fulfilling the social requirements of the HCSA.

The assessment team is expected to read these documents in detail before embarking on the assessment. Visit the ALS and the HCSA websites before starting an assessment for current versions of all documents.

5 Expertise in community facilitation in a developing country context is very important in terms of social aspects of the process. This is more than simply an ability to communicate with stakeholders, and is not necessarily covered by a general social science training.

1.5 THE HCV-HCSA ASSESSMENT IN THE WIDER HCSA

Figure 1 shows how the integrated assessment fits into the larger HCS approach.

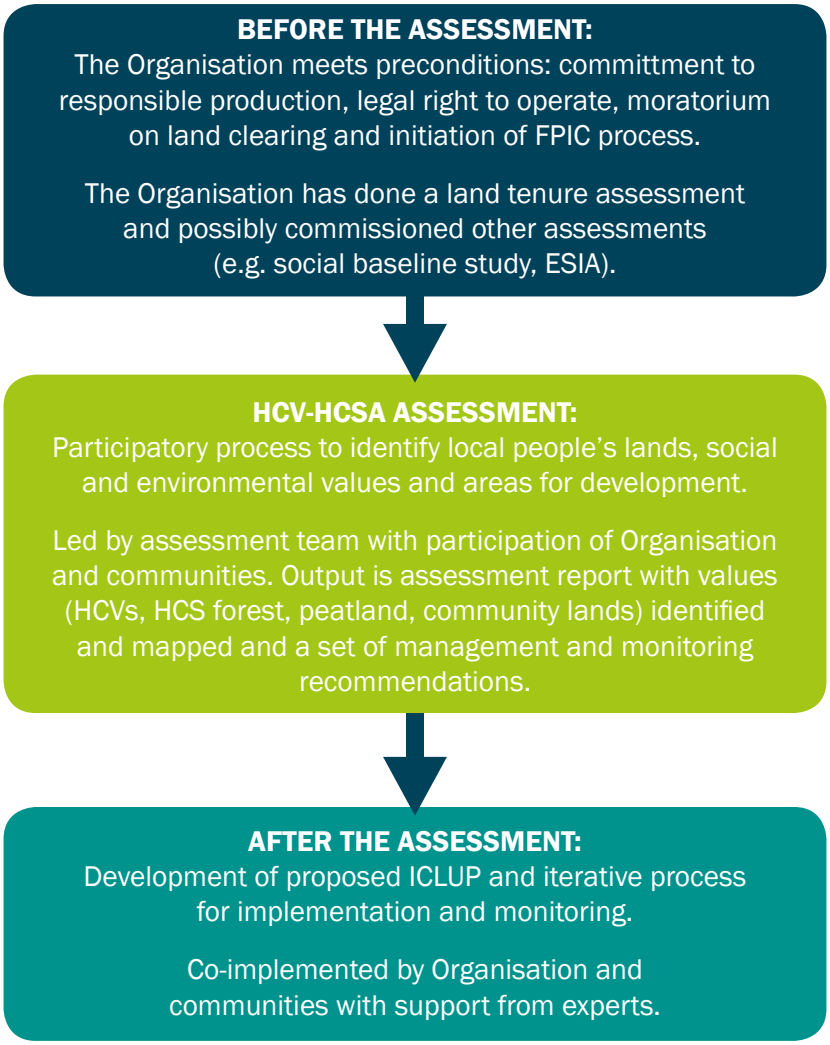


Figure 1 Overall process of responsible commodity production, showing how the HCV-HCSA assessment (green box) fits into the bigger picture.

1.5.1 The Organisation: Laying the groundwork before the assessment

Before the assessment begins, the Organisation must have secured legal permissions or rights to explore and/or develop the area, and must have already engaged with communities to discuss:

- the proposed project (e.g. agricultural development, pulp and paper plantation) including the potential risks and benefits
- their commitment to identify and maintain HCVs and HCS forests within their operations and in the surrounding landscape, in cooperation with communities and other actors
- why HCS forests are important to communities and wider society
- the right of communities to choose whether to identify and maintain HCVs and HCS forests on their lands, and how communities can potentially be supported through incentives and benefits to maintain any identified HCS forests
- the project development phases including the HCV-HCSA assessment

Through engagement with local people, it must also have secured their initial consent (FPIC) to conduct the assessment process, and agreed a process with them by which further engagement and consent will be negotiated[6]. The Organisation is required to conduct a land tenure assessment, and may have already conducted participatory mapping of some kind, which would provide valuable information for the HCV-HCSA assessment going forward.

1.5.2 The HCV-HCSA assessment

The HCV-HCSA assessment is a participatory process for identifying social and environmental values which need to be conserved in production landscapes. HCSA Toolkit Module 3 includes a framework for how HCV, HCSA and FPIC need to be integrated as part of the technical assessment. This technical manual is broadly based on the integrated framework, and all the relevant content from Module 3 has been included in this manual. Figure 2 shows the steps involved in an HCV-HCSA assessment.

The role and responsibility of the assessment team is to identify these values in collaboration with local communities, relevant experts, the Organisation and other interested stakeholders to produce an assessment report. **The assessment report is a compilation of social and environmental findings based on evidence gathered from field studies, interviews, participatory mapping, satellite imagery analysis, etc. and interpreted through the lenses of the HCV and HCS approaches.** The report is quality controlled by the HCVRN ALS, which checks the report for technical rigour and a thorough theoretical and practical understanding of the HCV and HCS approaches.

1.5.3 Post assessment: ICLUP and sustainable commodity production

Completion of the proposed Integrated Conservation and Land Use Plan (ICLUP) is beyond the scope of this manual and not the role of the assessment team. The assessment report is meant to serve as the foundation for the Organisation, communities and other interested stakeholders to move forward with the development of a proposed ICLUP that will determine land use for responsible commodity production in the landscape. The HCSA is developing additional information on proposed ICLUPs for Organisations and other interested stakeholders.

1.6 FPIC GUIDANCE FOR THE ASSESSMENT TEAM

Implementing FPIC principles is fundamentally the responsibility of the Organisation and must begin before the HCV-HCSA assessment and continue after the assessment. However, **the HCV-HCSA assessment team must have a clear understanding of FPIC principles and how to use them during the assessment**. This manual does not explain the FPIC principles, nor the process, of FPIC in detail. Please see Module 2 of the HCSA Toolkit for a list of FPIC resources.

6 HCSA Social Requirement 2

In relation to local communities, it is important to note that consultation is not just the passing of information from assessor to community member or from the Organisation to a community member. Instead, throughout this manual, **when community consultation is referred to, the intention is that it is a two-way communication involving active participation and joint decision-making processes**. Consultation should be fair, representative and non-discriminatory. Subgroups should be consulted. Assessment results need to be presented to affected communities for feedback; once validated by affected communities these results will then eventually be used as the basis for any negotiations.

Throughout the manual, attention will be drawn to how FPIC needs to be considered or integrated during different activities and steps of the assessment. The Integration Working Group identified a set of FPIC "gates", which are points along the assessment process where local people may decide to grant or withhold consent. These points are summarised in figure 2 and included in the assessment steps in Part 2 of the manual. Very broadly, the FPIC responsibilities of the assessor vs the responsibilities of the Organisation commissioning the assessment can be described in the following way[7]:

Table 1 FPIC responsibilities of Organisation and assessor

FPIC: ORGANISATION RESPONSIBILITIES	FPIC: ASSESSOR RESPONSIBILITIES
• Conduct initial engagement and stakeholder consultations according to the principles of FPIC. • Secure community agreement to conduct the HCV-HCSA assessment scoping study and subsequently the full assessment. • Decide with each community the procedure by which overall consent for the proposed development and conservation plan will be sought. • Reach an agreement on the final HCV-HCSA management areas and their management and monitoring activities. • Discuss the potential incentives and benefits for integrated conservation and development. • Agree how local people will be represented in the project and how they will give their consent. • Staff training.	• Proceed with assessment activities (e.g. participatory mapping, forest inventory) only once consent has been granted. • Use FPIC principles during participatory mapping and stakeholder consultations. • Provide information for consultations and discussions with the communities in a clear and easy-to-understand manner. • Present for consultation, the preliminary HCV-HCSA management areas, and their proposed management and monitoring recommendations. • Consult with community and social NGO representatives to gather opinion on quality of Organisation's FPIC process.

7 The activities in the table are not exhaustive, but only meant to provide examples of how the roles of the Organisation and the assessment team may differ with regards to FPIC.

Part 2: THE HCV-HCSA ASSESSMENT

2.1 INTRODUCTION

The three main phases of the HCV-HCSA assessment are: pre-assessment, scoping study and full assessment (figure 2). The manual then briefly discusses reporting and ALS quality control. More detailed reporting requirements are included in the HCV-HCSA Assessment Report Template. The context for each integrated assessment is different and various practical approaches will be necessary – such as with the order of activities, types of studies needed and number of field visits. It is mandatory to follow the order of the three main phases of the assessment (pre-assessment, scoping study, full assessment), however within those phases, the order and timing of different activities is left to the discretion of the assessment team.

INTEGRATED HCV-HCSA ASSESSMENT PROCESS

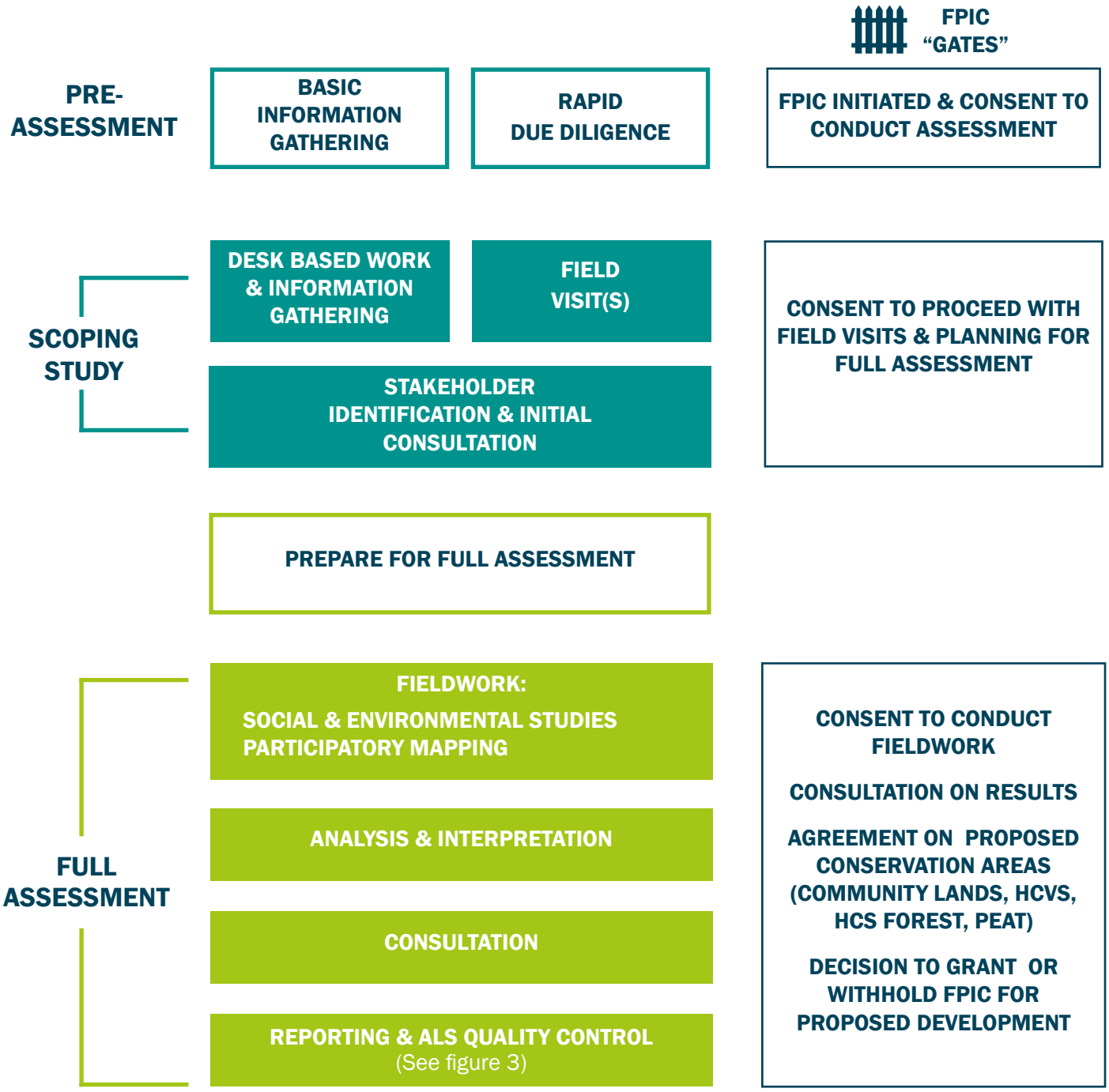


Figure 2 Integrated HCV-HCSA assessment process with FPIC "gates"

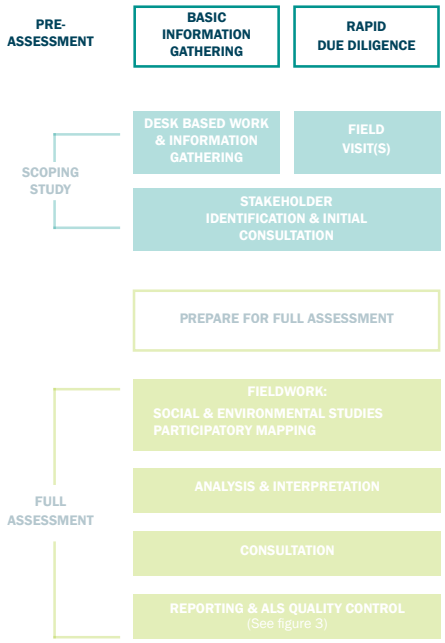
Table 3 provides a schematic overview of how the different activities associated with the HCV and HCS approaches and FPIC principles fit in with the steps of the assessment. This is not meant to be a complete list of activities, but it serves as a reminder of how the assessment integrates these three approaches or principles.

Table 3 Schematic overview of how the different activities associated with the HCV and HCS approaches and FPIC principles fit in with the steps of the assessment.

ASSESSMENT STEPS	HCV APPROACH	HCS APPROACH	FPIC
Pre-assessment	• Understand where the site is located and the land cover • Request information to assess preconditions		Request details on FPIC activities to date
Scoping study	• Desktop research on potential values • Visit to better understand social and environmental characteristics of site	• Initial land cover map and patch analysis • Ground-truth sample of vegetation classes	• Seek consent for assessment • Check that FPIC has been initiated
Fieldwork (social & environmental)	• Participatory mapping • Field work to gather information on HCVs	• Identify local people's lands • Verify peat study • Forest inventory • Finalise land cover map	• Seek permission to conduct fieldwork • Consult on results of studies and mapping
Analysis & interpretation	• Identify HCVs and HCV management areas • Recommendations	• Patch analysis decision tree • Identify HCS forests • Recommendations	• Community involvement in decision tree outcomes • Consultation on results
Consultation	• Consult on HCVs and management recommendations	• Consult on HCSA management recommendations	• Consultation on results • Modify maps and recommendations as needed
Reporting and ALS quality control			

2.2 PRE-ASSESSMENT: FIRST STEPS BEFORE BEGINNING AN HCV-HCSA ASSESSMENT

Before beginning an assessment, there are a few things that need to be done, both from a practical side (Where is it? What is the status of exploration, FPIC, development, etc.?), and an administrative side (e.g. signing a contract).



2.2.1 Basic information gathering

When an assessor[8] is contacted by an Organisation interested in commissioning an assessment, the assessor needs to compile the following basic information:

1. Details on the Area of Interest (AOI) including at minimum: an accurate spatial file of the boundaries (geographic coordinates and area). Though the AOI may be refined later, it must include the concession and the wider landscape adjacent to the concession.
2. Current land cover/land use maps (e.g. Landsat 8, Sentinel 2). Recent images are required (i.e. less than 12 months old).
3. The type of project (current or future), e.g. whether it is for oil palm, forestry plantation, etc.
4. Reason for the HCV-HCSA assessment (e.g. Organisation policy)
5. Land tenure status (initial information on who controls/owns/uses the land).
6. Summary of FPIC processes that have already taken place (e.g. how the communities' consent to proceed with assessment has been obtained), including key stakeholders (communities, others) involved.
7. Information about communities within or adjacent to the AOI, if available.

2.2.2 Conduct rapid due diligence

During the initial desktop study, the assessor must conduct a rapid due diligence investigation to get a sense of: what commitments the Organisation has made to sustainability, what activities are happening on the ground, what right the Organisation has to explore or develop the area, and how far the Organisation has progressed with the FPIC process. These make up four preconditions shown in table 4 below.

Table 4 provides examples of evidence the assessor can use to determine if the preconditions have been met, however the examples given in the table are not mandatory and actual evidence gathered will vary. This is a desktop exercise, where the assessor must request evidence from the Organisation to determine whether the preconditions are met. **Once in the field, assessors must use triangulation[9] to further investigate whether these preconditions have indeed been met**.

8 Throughout the manual the terms assessor and assessment team will be used interchangeably. The lead assessor is ultimately responsible for the quality of the final report, but different assessment team members will have different roles and responsibilities throughout the assessment depending on their expertise.
9 For example, through interviews with experts and local people, and through field visits to the assessment site.

Table 4 Examples of evidence the assessor can gather to conduct due diligence exercise.

PRECONDITIONS TO BE MET BY THE ORGANISATION	EXAMPLES OF EVIDENCE GATHERED BY ASSESSOR
1. Commitment[10] to environmental and social safeguards	• Organisation policy and/or a statement committing Organisation operations to the core values engrained in the HCV, HCSA and FPIC processes: e.g. biodiversity and habitat conservation, zero deforestation, peat protection, respect for community tenure and rights, promotion of sustainable livelihoods • If the Organisation is a member of HCSA, this would also show a level of commitment to environmental and social safeguards (however, HCSA membership is not mandatory)
2. Moratorium on any land clearing or land preparation until the proposed Integrated Conservation and Land Use Plan (ICLUP) has been completed[11]	• Declaration by Organisation (e.g. email, policy on website) • Recent land cover maps or land use change analysis (which show that clearing has not taken place) • Historic maps (land use dynamics), or a quick Google Earth history analysis
3. Demonstrated legal right over or permission to explore Area of Interest	• Land tenure assessment (see more detail below) • Title, lease, planning permit[12], concession agreement, exploration permit, permission from current land owners, etc. • Agreement or MOU from the landowners that give permission to conduct the assessments that will inform development potential on their land
4. FPIC process has been initiated with full disclosure of the proposed project with all potentially affected communities and stakeholders, and the process for negotiation and consent going forward has been agreed, with representatives appointed through a fair process	• Timeline of FPIC process initiated by the Organisation **Potential documentation can include:** • Explanation of project to affected communities and other stakeholders (e.g. meeting minutes) • How communities and other stakeholders will represent themselves and how they will be involved in the assessment processes • Who they want to involve as advisors or legal counsel (if applicable) • How project information will be shared • The procedure whereby overall consent for the proposed project and conservation plan will be sought • Consent from affected communities to proceed with the HCV-HCSA assessment • Signed MOU between Organisation and communities

10 Here the assessor is only looking for evidence of a commitment, not of compliance.
11 The HCSA is developing guidance and quality assurance procedures for finalising the proposed ICLUP. Before the proposed ICLUP has been finalised, land preparation can only occur on areas where FPIC has been granted and where land use is not contested or conflicted.
12 Organisations may use HCV-HCSA assessment as a way of seeing if a project is financially viable.

At the end of this preparatory step, where the assessor learns some basic information about the assessment site and conducts a rapid due diligence exercise, he/she determines whether to proceed with a contract for a scoping study. **If any of the above preconditions have not been fulfilled (at least satisfactory preliminary information), the assessor must not proceed with the HCV-HCSA assessment.** Instead, if appropriate, he/she must first discuss a process with the Organisation through which the preconditions can be met prior to signing a contract for the HCV-HCSA assessment.

FPIC INITIATED & CONSENT TO CONDUCT ASSESSMENT

2.2.3 Proceeding with the HCV-HCSA assessment

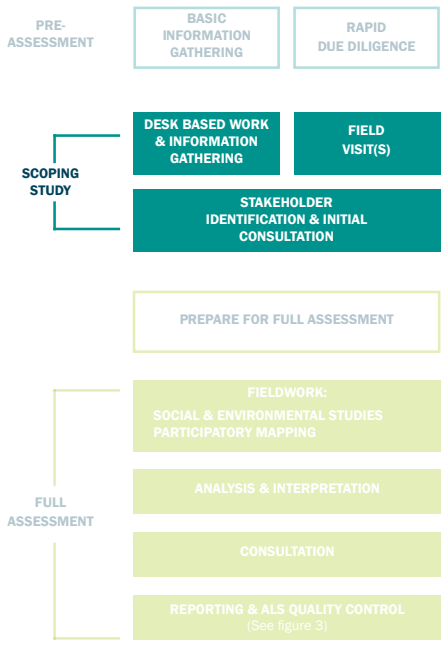
The licensed assessor must ensure that the Organisation commissioning the assessment has a clear understanding of the following:

- The process and activities involved in an HCV-HCSA assessment.
- The purpose, requirements and tools of the ALS, including costs of quality control of assessment reports, time required, potential outcomes and use of the ALS web platform to monitor status of reports.
- Recommendations for management and monitoring will be made based on the assessment and these will need to be further developed, refined, and implemented by the Organisation outside the scope of the HCV-HCSA assessment.

The contract between the assessor and the Organisation must clearly state the roles and responsibilities of both parties. It is recommended that assessors use one contract for the scoping study and another contract for the full assessment. If this is not possible, then the contract must have a clause that will allow the assessor to exit the contract after the scoping study if results show that a full assessment is not appropriate (e.g. FPIC not properly initiated, consent not given for full assessment, etc.).

Reference Documents

- HCSA Toolkit Module 5
- Common Guidance for HCV Identification (Part 3)



2.3 SCOPING STUDY

Scoping study activities include desk-based information gathering, preliminary analysis of land cover, field visits and stakeholder identification and consultation. It is also meant to be used as a tool to determine whether a full assessment is to proceed, and if yes, then to prepare the team for the full assessment. **A scoping study is mandatory for all HCV-HCSA assessments** because: the initial land cover must be ground-truthed before the full assessment, and it is necessary to check whether information gathered during the pre-assessment matches the reality on the ground. A scoping study is not necessarily a one-off field visit; multiple visits may be required to allow time to gather preliminary information needed to help prepare for the full assessment. The scoping study field work is conducted by a small team of experts (generally at least two experts). This may include the lead assessor, but it is not necessary if there is another team member with the relevant experience and expertise to lead the scoping field work. There also needs to be someone in the scoping field team who is familiar with the land cover map and how to ground-truth it. The scoping team must be accompanied by people with local knowledge (e.g. language skills, community facilitation, know the local terrain), whenever possible. Logistical

considerations such as the size and accessibility of the site (e.g. state of the roads) will influence the scoping study planning, and generally the Organisation commissioning the assessment will help with logistics.

2.3.1 Defining the scope of the assessment

The AOI to be mapped by satellites must include the concession and the wider landscape adjacent to the concession. The boundary of the AOI must be aligned to either administrative or natural boundaries, for instance hydrological catchments or other landscape units. Rationale for the determination of the boundary must be provided.

The wider landscape may be determined by (a) identifying the watershed or the geographical land unit containing a cluster of interacting ecosystems; (b) selecting a unit size that encompasses the plantation concession and a buffer of the surrounding area (e.g. 50,000 or 100,000 ha); or (c) using a radius of 5 km from the concession. Rationale for the determination of the boundary must be provided.

2.3.2 Information gathering

There are three main types of information required for an assessment: environmental data, social data and geospatial data. The first step here is to collate all information sources relevant to the AOI and the wider landscape. This includes data from published and unpublished studies, research reports and other pertinent sources. All data or resources must be recent, objective and detailed. **Primary data collection by the assessment team will form the basis for HCV identification and HCS forest classification. However, it is also acceptable to use some secondary data (e.g. recent ESIA report), so long as the use of secondary data is well-justified and documented**.

The assessor submits a data request to the Organisation, aiming to access any datasets that the assessor would deem useful to perform the assessment (e.g. vector based data (i.e. hydrology, transport, topography)). Organisations can also share their economic development plans, as well as basemaps of estates, proposed concession areas and the wider landscape. In addition to information coming from the Organisation, the assessment team can obtain information from sources shown in table 5. Refer to the Common Guidance for HCV Identification (Part 3) for more recommendations on information sources.

Social and environmental experts in the country are valuable resources, and can be consulted at this stage and again during the analysis step. The assessment team needs to review and synthesise available data to understand the environmental and social context for both the concession area and the wider landscape. A gap analysis is then conducted to identify remaining data needs.

Table 5 Examples of different information and data sources to be used during the HCV-HCSA assessment.

ENVIRONMENTAL DATA	SOCIAL DATA	GEOSPATIAL DATA
Studies and documents: • Biological studies • IUCN Red List and maps • CITES list • Key Biodiversity Areas map • National protected species list • Protected areas map • Analysis of relevant environmental plans, policies and regulations **Information:** • Topography and slopes • Vegetation cover • Soil (especially peat) • Hydrology (including drainage[13]) • History of forest disturbance	**Studies and documents**: • Social baseline study • SIA • Land tenure assessment • Socioeconomic studies • Relevant official social and development plans **Information:** • Location of villages • Stakeholder mapping • Demography • Ethnography • Tenure data • Land cadastre • Language background • Cultural background • Ethno-botany studies • Socioeconomic status and development needs	• Digitised Elevation Model • Organisation development plans • Satellite images (e.g. Landsat/Sentinel) • LiDAR data (if available) • Initial land cover maps • Administrative boundaries • Other concessions' boundaries • Protected area boundaries • Moratorium maps (if applicable) • Forest and state area maps • Land system maps • Spatial planning maps • Physiographic regions • Conservation area maps

2.3.3 Preliminary land cover map and patch analysis

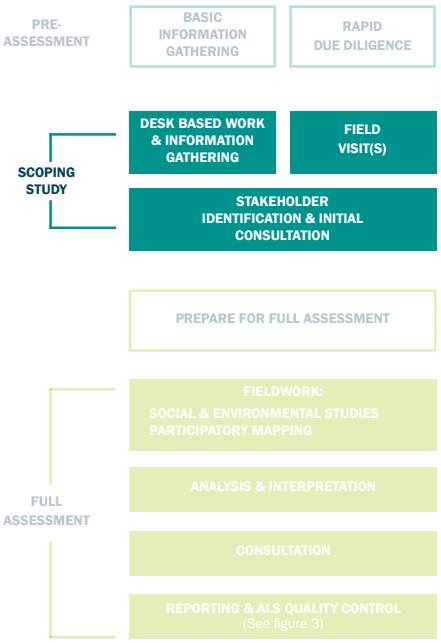
An accurate land cover map is key to an HCV-HCSA assessment. The GIS/remote sensing specialist must prepare an initial vegetation classification based on remote sensing analysis in line with the requirements of HCSA Toolkit Module 4. From this initial vegetation classification, a draft land cover map is produced. A preliminary land cover map must be created early to facilitate efficient planning of the LiDAR above ground biomass (AGB) calibration plots, LiDAR transects or forest inventory plots (depending on the data option chosen), and to improve the distribution of the samples across the expected range of carbon stock classes (see HCSA Toolkit Module 4). A preliminary accuracy assessment of the LiDAR land cover map can be done using satellite imagery. Ground-truthing is conducted as part of the scoping but the AGB/LiDAR calibration plots are done during the full assessment. From the initial vegetation classification, a preliminary first-cut patch analysis can be undertaken (as per HCSA Module 5) to inform planning of the field visit during the scoping visit.

Reference Documents

- HCSA Toolkit Modules 4 & 5

13 Doing a detailed drainage mapping in the pre-assessment phase is very useful. Some human settlements may be indirectly affected by the new development, impacting the water quality. The drainage mapping helps to see the settlements that can be affected.

It is recommended that a separate more nuanced classification of land cover is carried out for HCV purposes (e.g. separating dryland from peat or swamp forest, from riparian forest etc.). Next preliminary patch analysis is undertaken, to create patches or groupings of where different forest classes or non-forest is located, to make field assessment easier[14].



2.3.4 Field visit(s)

Note: It is imperative that Organisation staff have already visited communities, prior to the assessors' arrival, to discuss via a two-way dialogue the proposed project, the mutually agreed process for reaching consent for the project, and the project development phases including the forthcoming visit of the assessors.

Field visits are important for understanding terrain and land cover in the AOI. This helps the assessor(s) plan for the full assessment. The assessor gains detailed knowledge of the local environment, enabling the team to determine: the expertise that will be required for field studies[15], sampling plot locations, access to sampling plots, protocols for forest inventory testing, location of communities, access to communities and the status of FPIC processes.

2.3.4.1 Stakeholder identification and consultation

Consultation during the scoping study is used to gather information on the social and environmental situation in the assessment area and identify concerns and recommendations regarding the assessment and project (i.e. commodity production).

This is a time to conduct initial consultations such as with:

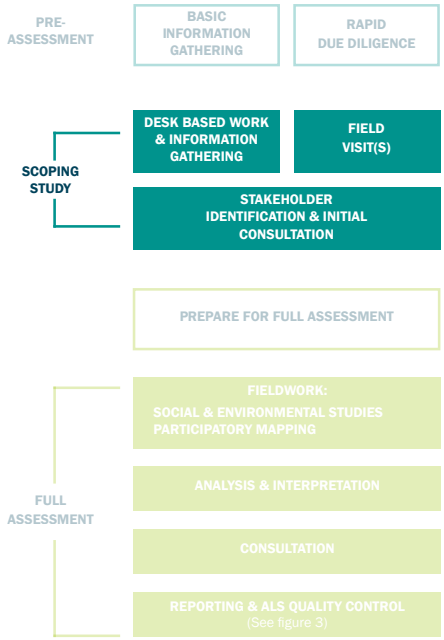
- Local people (see details below)
- Social and environmental experts who may join the full assessment team or who have data or information and/or concerns to share
- Stakeholders, more generally, to understand initial concerns over project

BOX 2: STAKEHOLDER GROUPS

The social expert (or experts) in the assessment team identifies the different stakeholders to be consulted and worked with during the assessment. For example, it is important to meet and discuss the proposed project and the assessment with:

- Affected communities (consider subgroups e.g. men, women, youth, elders, minorities)
- National and local government
- NGOs and civil society
- Development project leaders
- Other private sector actors with interests in the area

14 After the field studies are conducted in the full assessment and finalisation of land cover is completed, the GIS analyst will run the full patch analysis.
15 This is especially important with regards to social expertise (e.g. people who speak local languages, are familiar with the social context and are trusted by local people).



2.3.4.2 Visiting a sample of communities

Visiting communities will allow the assessment team to check the status of FPIC and to prepare for field work (e.g. social studies to identify HCV 5 & 6). Assessors must be well-prepared for meetings with local communities, for example, it may be necessary to have independent interpreters. Deciding which communities (e.g. villages) to visit during the scoping study can depend on several factors, including:

- Visit human settlements whose land or areas of customary use will be impacted by the project (i.e. communities leasing some, or all, of their lands to the Organisation).
- Visit human settlements listed as already engaged in FPIC process (according to information provided by the Organisation during the due diligence step).
- Visit human settlements close to, or overlapping with planned vegetation ground-truthing sites.[16]

Explain the HCV-HCSA assessment objectives and activities

Assessors must explain the purpose and proposed activities of the assessment and talk to communities about forests and resources in an appropriate way. Rather than bombarding people with technical terms and flow charts, it is important that they have a strong conceptual understanding of the HCV and HCS approaches and the activities involved in the assessment and the implications for future land and natural resource use, including their role in management and monitoring. The assessors must clearly explain the proposed assessment process, including the various field visits, the consultation steps, and the final consent (or not) of the local communities.

Check on the status of FPIC and social studies

The assessment team needs to verify that the communities have been informed of the proposed project by the Organisation and that they have understood the location, scale and objectives of the proposed development and conservation and have given their consent to the HCV-HCSA assessment. Detailed documentation must be kept of all consultations (see Annex 4 for documentation requirements). This verification can be done by meeting with a sample of communities to check that initial engagement and information disclosure, aligned with the requirements of the FPIC principles, has been conducted. Checking for example:

- Did the community nominate their own representatives?
- Is there specific reference to the customary owners being made aware that they can say no to the development or to conservation plans?

Before Organisations can start acquiring land, they must understand who already has rights to which land as owners and users, including those with statutory rights, those with customary rights and those with informal rights. **Check that a land tenure assessment has been conducted.** The land tenure assessment needs to clarify which institutions have authority over lands, and who controls how lands are acquired, inherited and transferred. **If the land tenure assessment has not been conducted, then the assessment must not proceed**.

Reference Documents

- HCSA Toolkit Module 2

16 If there are areas which the assessment team finds interesting in terms of land cover and forest classes, they could plan to meet with communities near those sites and to seek consent to visit those areas.

BOX 3 PARTICIPATORY MAPPING

During the elaboration of the HCSA Toolkit and this HCV-HCSA manual, there has been much discussion about participatory mapping. What does it entail? Who should do it? When does it need to be done? Participatory mapping is a tool for identifying and mapping community use, rights and ownership of land and natural resources. It is a method based on local knowledge and establishes local people as the key stakeholder group in mapping. Participatory mapping can be done at different levels, from a general map showing the overall use areas of local people, to a more detailed map showing the location of sacred sites, hunting camps and natural springs used for drinking water. This can involve different methods and timelines.

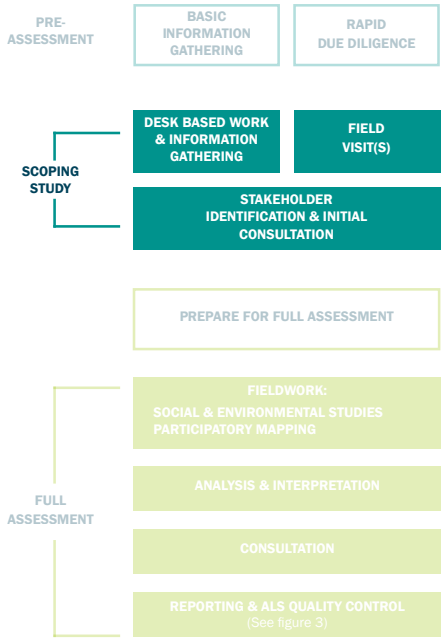
In addition to HCSA Toolkit Module 2, an implementation guide to the social requirements of the HCSA is being developed, which will help explain more about how and when participatory mapping needs to happen as part of the HCSA. But, for the purposes of this manual, and to enable assessors to have a clearer picture of what is required, consider the following:

- **The Organisation must engage in participatory mapping at a very early stage to determine how local people's use areas (customary use and/or formal legal title) overlap with the concession where commodity production is planned/proposed by the Organisation.**[17]
- **During the scoping study, the assessor must verify that an initial round of participatory mapping has been conducted (i.e. check for evidence of mapping and that local people were involved and validated the maps), and that local people have consented to further mapping/assessment as part of a potential future development project which they have the right to accept or refuse. If yes, then the HCV-HCSA assessment can proceed. If not, it is not appropriate for an assessment to be conducted and the onus returns to the Organisation to complete a tenure assessment using participatory mapping.**

If the assessment goes ahead:

- The assessor can then build upon the participatory maps to begin identifying more specific values and sites (e.g. HCVs)
- Local people may choose to exclude some areas from detailed mapping and assessment.

17 If participatory mapping was already conducted by the Organisation, this can be used, but it must be somehow validated by the assessment team to ensure it was well done (e.g. talk to communities who participated, check a sample of maps, etc.).



Reference Documents

- HCSA Toolkit Module 4

2.3.4.3 Initial ground-truthing of land cover map

The field visit is an opportunity to carry out initial ground-truthing of the draft land cover map, as well as calibration of LiDAR or other data/ imagery. The GIS/remote sensing expert who prepared the land cover and forest stratification maps must support the ground-truthing team and perform needed corrections to the maps.

Note: Even if the Organisation has obtained consent for the assessment to take place, it is important to gain consent from local communities before entering into their farms or (communal) forested lands to conduct ground-truthing and vegetation studies. Even for assessments conducted on private property, it is good practice to engage with any local people who use land or natural resources in the AOI. It is good practice to have local people accompany field teams wherever possible. This applies to field/community visits during all stages of the assessment.

During ground-truthing, it is useful to bring along hardcopies of the base maps, as well as print-outs of the land cover map. Equipment in a standard survey toolkit includes GPS, compass, altimeter, clinometer and digital camera. The key task to be undertaken during ground-truthing is to conduct a visual assessment to determine the accuracy of strata boundaries that were determined through the GIS analysis of satellite imagery. The verification points are usually located at the boundary of two strata or where the land cover could not be determined from remote sensing data (e.g. due to missing satellite data). At each verification point the location (coordinates) must be recorded using GPS and photographs taken in five directions i.e. north, south, east, west and skywards. Other tasks that could be carried out during ground-truthing include the visual assessment of soil type with attention given to the presence of peat soil.[18] Information from the ground-truthing exercise should be recorded in a standard data sheet. Any errors in the land cover map found during the scoping study are corrected by the GIS/remote sensing expert. After these updates are made, the preliminary patch analysis can also be refined. Then the assessment team can identify potential locations for biomass plots and the sampling strategy for the full assessment (see HCSA Toolkit Module 4). It is also possible to do some initial field plots, where consent has been granted and time permits, to record biomass and ecological data (as per HCSA Module 4 requirements).

2.3.4.4 Identification of biophysical and ecological features

- Conduct reconnaissance walk through the assessment area to characterise major vegetation classes and land forms, to prepare methods for biological inventories.
- Visit any non-forest ecosystems that will need to be included in the HCV assessment (e.g. savanna, rivers, wetlands).
- Understand/map access points to the assessment area (roads, rivers) to help planning of the full assessment.

18 Record land cover / land use, as well as drainage status. For forested peatland that is drained, this needs to be rewetted as well as protected.

2.3.5 Outcome of the scoping study

The outcome of scoping study is some form of scoping report. It could be a written report or a presentation that is shared with the Organisation and other interested stakeholders. The scoping report is useful for communicating with the Organisation and for planning the full assessment. The scoping report can be brief, but it must include information on the following:

- Overall summary of conclusions from the scoping study and information gaps that will require attention and efforts during the full assessment
- Recommendations (if any) for what the Organisation must complete prior to full assessment, such as participatory mapping of community use areas to be excluded from development
- Timeline and activities of scoping study
- Summary of sites visited (e.g. villages, vegetation classes, exploratory walks through the area, other sites of interest, key biophysical and ecological features)
- Consultations
- Due diligence verification
- Ground-truthing photos and observations of land cover map
- Proposal for field studies, including methods

The scoping report is not submitted to the ALS for quality control. However, **the assessment report template does have a section on the scoping study which must be completed and this section is important for quality control purposes.**

PROCEEDING FROM THE SCOPING STUDY TO THE FULL ASSESSMENT

FPIC GATE FOR COMMUNITIES

Community consent is required at this stage of the scoping study, including agreement on:

- How communities will represent themselves in the project development, including the assessment process.
- Allowing field teams to carry out participatory mapping and field studies (e.g. HCV studies and HCS forest measurement plots).
- How communities will be involved in these processes.
- Who they want to involve as advisors or legal counsel.
- How project information (including from HCV and HCSA studies) will be shared.
- The procedure whereby overall consent for the proposed development and conservation plan will be sought.

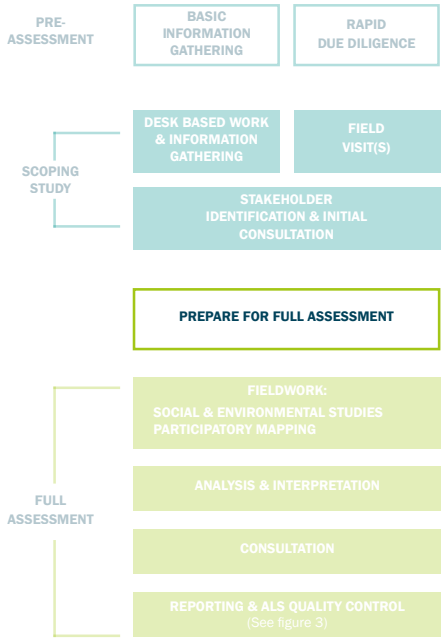
It may be that some communities consent to participating in the HCV-HCSA assessment, but others may withhold their consent.

Organisation

The scoping study findings will provide information to the Organisation on whether HCVs and HCS forests are likely to be present. As a result, the Organisation can evaluate the economic viability of the potential project and decide whether to continue with a full assessment or abandon the venture. For example, the concession area may be full of HCVs or HCS forest which require protection, so proceeding with development may be economically unviable.

Assessor

After the scoping study, the assessor can evaluate whether the assessment is to proceed. For example, if the assessor believes that the preconditions from the due diligence exercise are still not fulfilled, he/she must not go ahead with the assessment process.



2.4 PREPARATION FOR FULL ASSESSMENT

Once the scoping study is complete, and the decision has been made to proceed, the team must now prepare for the full assessment. This section highlights some of the key tasks to accomplish before the assessment, but assessors are encouraged to use the **HCV-HCSA Assessment Planning Checklist (see Annex 2)** and consider all relevant topics.

2.4.1 Register with ALS

Once the assessor knows that the full assessment will proceed, he/she must register the assessment with the HCVRN ALS. This will allow the ALS to plan and be prepared to receive the assessment report, and review it in a timely manner. The assessor must log in to his/her account on the ALS website to register the assessment.

2.4.2 Assessment team

This is the time to finalise the assessment team and ensure all key people are available. The composition of the assessment team, including their qualifications is crucial to the success of the assessment process. See the terms of reference for HCV-HCSA assessment teams (Annex 1) for guidance on team composition. The assessment report template has a section for assessment team member information including: Name, relevant qualifications (e.g. specify if holder of ALS licence), current institution (if relevant), role (e.g. team Leader, social expert, field survey expert) and expertise (e.g. remote sensing, participatory mapping, plant taxonomy, hydrology, etc.). The report must include a brief expertise profile for each team member (see report template).

2.4.3 Prepare methods

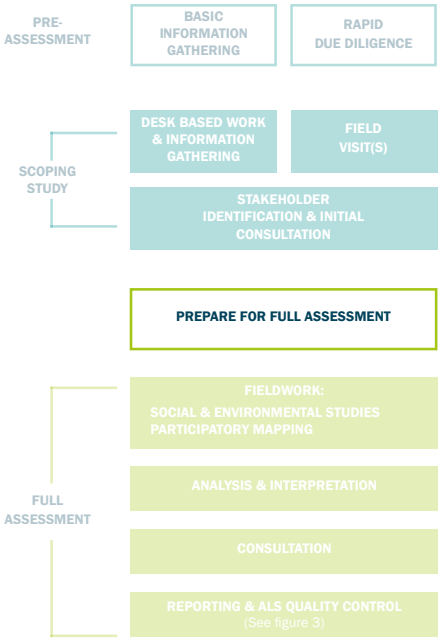
The lead assessor must coordinate the preparation of methods for collecting and analysing relevant data for HCV and HCS forest identification. **The choice and use of methods is important for ALS quality control.** The assessment report will be evaluated based on:

- **Description of methods (with full methods provided as annexes)**
- **Justification for choice of methods (referring to strengths or limitations of method, suitability for context)**

The assessor must choose methods and sampling strategies, with attention to the following:

- Site characteristics
- Efficient use of time and other resources: One of the aims of integrating HCV and HCSA assessments is to streamline data collection and analysis. Therefore, field studies are to be organised, whenever possible, to maximise time and resources. Efficient field data collection is also appreciated by local communities and other stakeholders who can avoid multiple, often repetitive, consultations and visits. HCV-HCSA assessments may also be coordinated with national requirements such as Social and Environmental Impact Assessments (SEIAs).
- More than one field visit during the full assessment may be required and beneficial, such as where consent is necessary to access a site (e.g. land owners not present, boundaries not fully clear, land conflict, etc.).

Sampling design and methods must be prepared before the start of



fieldwork, and qualified team members or independent specialists must carry out the work. In general, the choice of methods is left to the discretion of the assessor, with the following exceptions:

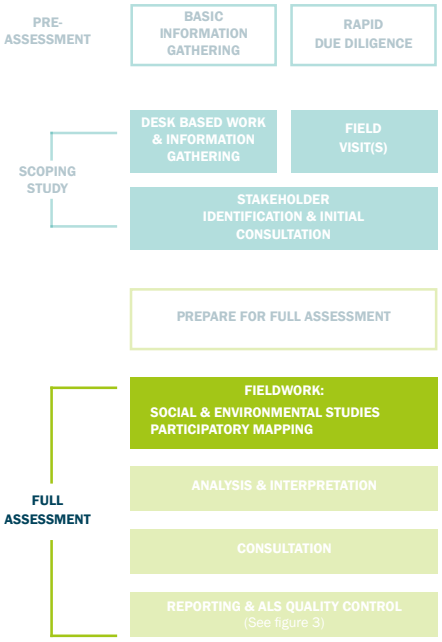
1. **Forest stratification and carbon assessment:** Please see detailed methods in Module 4A of the HCSA Toolkit. Justify choice of method Option 1, 2 or 3.
2. **Participatory mapping of community land use and natural resource use (e.g. HCV 4, 5 and 6) must be GIS based.**

Planning for social studies, participatory mapping and community consultations will involve determining which communities need to be visited and the logistics associated with this. This would include:

- Understanding how the communities are organised and contacting the appropriate people, who in turn will organise meetings and invite relevant people to attend. In doing this, the assessment team must verify this selection includes representatives from minority, vulnerable and marginalised groups.
- Identifying whether there are days or times when it would not be advisable to organise meetings e.g. religious days or times when everyone is at work.
- Organising mapping teams.

Before the full assessment, the following should have been completed or prepared:

- Organisation has obtained consent to proceed with the full assessment activities (study plots, data gathering, mapping, additional meetings)
- Pre-assessment (e.g. due diligence) completed
- Scoping study completed
- Methods and survey designs are prepared
- Assessment team is formed and ready
- Assessment calendar has been communicated to team members, Organisation, relevant experts and stakeholders
- All necessary logistical preparations (and budgetary implications) have been considered
- Land cover map including preliminary HCSA vegetation classification, preliminary patch analysis and other base maps are prepared and distributed to relevant stakeholders
- Stakeholders have been identified and contacted as required and given information relating to the upcoming assessment, the assessment team's responsibilities, and the timing



2.5 FULL ASSESSMENT

The main outputs of the fieldwork, are reports from environmental and social fieldwork and maps that will allow the assessment team to proceed with analyses and draw conclusions about the presence and locations of community lands, HCVs, HCS forest, peat and areas suitable for development. **During fieldwork, if the assessment team finds evidence that communities are still not adequately informed about the project, the assessor must inform the Organisation and the communities and recommend additional engagement efforts**.

The assessment team, possibly accompanied by other experts, travels to the field site (AOI) to collect primary data. The studies will vary depending on existing data in hand and on site specific circumstances. Typical primary data collection falls into two parts: social fieldwork and environmental fieldwork.

The following are suggestions to bear in mind:

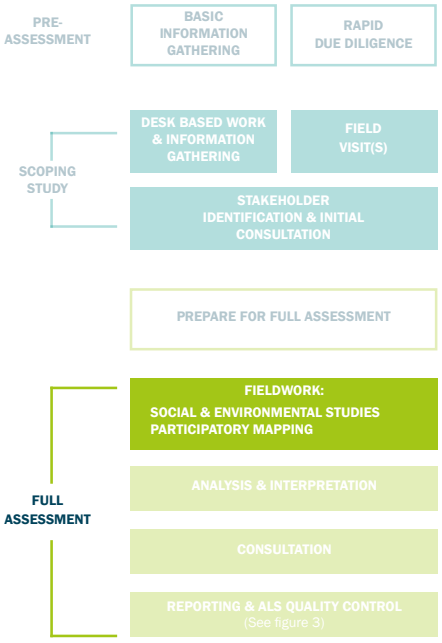
- Coordinate the order and timing of different field studies in a way that maximises time and resources, while still collecting information in a robust and socially responsible way.
- It is good practice for local community representation to accompany the biological and biomass data collection teams when they go to the field.
- Ideally, social studies and mapping can be completed prior to the biodiversity data collection for a variety of important and logical reasons (e.g. so that botanical sampling does not occur in sacred sites). However, so long as consent has been granted to conduct forest inventory plots, the forest field teams may be conducting their studies at the same time others conduct the social studies and mapping.
- HCV-HCSA fieldwork is often carried out simultaneously and in full collaboration with the ESIA, as required by both national legislation and many certification standards.

2.5.1 Social fieldwork

Design field studies so that results can help e.g.:

- Understand livelihoods and tenure so that land for community livelihoods can be identified and set apart from development and strict conservation
- Identify important sites and resources for natural resource use – HCV 4 and 5 (e.g. water, fishing, hunting, gathering non-timber forest products (NTFPs))
- Identify important cultural sites and resources (e.g. places for ceremonies, totem species - HCV 6)
- Identify how the proposed project will impact people's resources use and access

Social studies must be conducted in a participatory and inclusive manner with affected communities and other local stakeholders, with due consideration given to responsible and sensitive engagement to avoid raising expectations. Depending on the context, information would be available from social studies, such as a social baseline study, an SIA and/or a land tenure assessment carried out in the AOI. If this is the case, these studies are valuable contributions to the HCV-HCSA assessment and can be used as secondary data for identifying local people's lands and HCVs. However, the assessment team will need to use triangulation to validate the main outcomes of these studies and check on the quality of the participatory mapping.



2.5.1.1 Participatory mapping

Note: See Box 3 for an explanation of participatory mapping in the context of HCV-HCSA assessments.

During the HCV-HCSA assessment, participatory mapping is the tool to use for identification of HCVs 4, 5 and 6, as well as other community land use – and for discussion of future land and resource needs (i.e. Identification of areas for future livelihood needs). **Participatory mapping must be GIS-based so that the maps can be overlaid with other assessment results.** Communities identify the areas to which they have customary rights and which are important to them, for historical reasons, for their current and future livelihoods, for their cultural values or for ecosystem service provision. Communities can use the results of the mapping as a basis for negotiation with companies on land use planning. If communities have the capacity to lead on participatory mapping, this is ideal.

Participatory mapping is recommended for all community lands and not just those areas that overlap directly with the potential development area (concession, permit area, etc.).[19] This will provide a more comprehensive picture of community resource ownership and use, and thereby a better understanding of the real impact of the development on the entire community (i.e. how dependent communities are on the proposed development area).

All affected communities[20] must be included in participatory mapping activities. **Where communities do not consent to participatory mapping, their land/territory cannot be considered evaluated and cannot be indicated for project development.** The following information is useful to collect:

- Location of affected villages and of their resource use area (either formally titled or customary) - check land tenure study
- Location and boundaries of legal and customary land, and identification of areas subject to different legal, customary and informal land and user rights - check land tenure study
- Sites of critical importance to local communities for ecosystem services (HCV 4)

19 Assuming FPIC has been granted for mapping.
20 All communities in a production landscape are likely to be affected in one way or another, but focus on communities with rights within the concession.

- Sites of importance for livelihoods and food security (HCV 5) including:
  - Current (active) farm areas and fallows
  - Water sources used for household purposes and fishing
  - Hunting territories
  - Sites of important NTFP collection
- Historic, cultural or sacred sites (e.g. graves, ruins of former villages, ceremonial sites, sacred groves, waterfalls) (HCV 6)

Maps are created and then presented back to the community for comment and corrections. The final maps are the outcome of a collaboration between the assessment team and community representatives. Mapping can identify community lands that must be excluded from HCS forest classification and/or project development.

2.5.1.2 Social studies

In addition to participatory mapping, the assessment team can conduct social studies to better understand local resource use and livelihood strategies. Various participatory learning and action methodologies – including focus groups, seasonal calendars and ranking exercises – can be used to ensure that information is collected with full community involvement. The assessment team needs to make full use of all available social studies (recent and of good quality) such as the social baseline study, Social Impact Assessment (SIA) and land tenure assessment (including tenure maps). Some information from these studies can be validated during the assessment, and where there are gaps in information needed to identify HCVs, then the assessment team proceeds with primary data collection.

Reference Documents

- HCSA Toolkit Module 2
- Common Guidance for HCV Identification: Sections 3.4-3.6
- Common Guidance for HCV Management and Monitoring: Section 3.3

2.5.2 Environmental fieldwork

The environmental studies conducted during the assessment will be determined by information learned during the scoping study.

Design field studies so that results can help e.g.:

- Identify rare, threatened or endangered species and ecosystems (HCV 1 and 3)
- Evaluate whether Intact Forest Landscapes or other large landscapes are present (HCV 2)
- Identify different ecosystem types
- Identify HCS forests

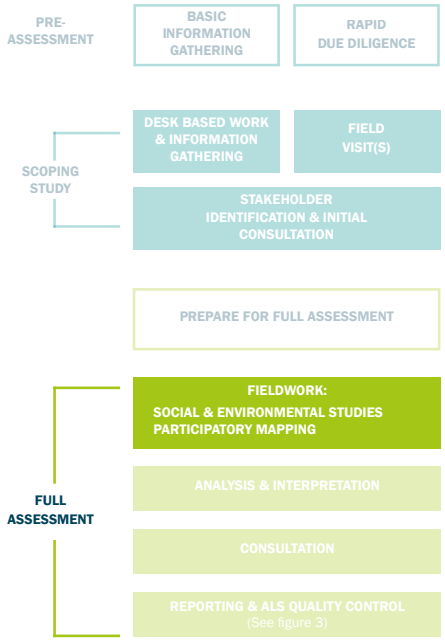
Reference Documents

- HCSA Toolkit Module 4

2.5.2.1 HCS forest inventory

To assess the accuracy of the final land cover classification, a field survey must be conducted. When choosing the number of samples to be collected in the field, a balance between what is statistically sound and what is practically attainable must be found. Module 4 suggests collecting a minimum of 50 samples for each land cover class. For larger areas (more than about 400,000 ha) it is suggested that a minimum of 75 samples must be collected per land cover class. In addition, the choice and distribution of the samples (sampling scheme) is an important component of an accuracy assessment. Five different sampling schemes are explained in HCSA Toolkit Module 4.

Details on which trees to measure are provided in Toolkit Module 4 Section C. All trees measured in the plots must be identified to genus level and preferably to species level. If a genus cannot be identified, photographs and botanical samples must be collected and marked so that experts can identify them later. For HCV identification, HCS forest plots can be designed to capture important HCV data such as: e.g. diversity, habitat quality indicators and species information. **Species lists must be organised into lists of nationally and/or internationally protected species and IUCN categories (i.e. Endangered, Vulnerable) and endemic species, as well as species that are particularly useful for local livelihoods, as identified during participatory mapping with local people.**



2.5.2.2 HCV identification efforts

In addition to the HCV data that can be collected during HCSA field plot sampling, focus HCV identification efforts on:

- Areas with high potential of HCV presence (as learned from desk-top study and consultation). Another perspective is that whilst it is important to get a baseline dataset of HCV areas for future management, from a practical perspective it makes sense to focus HCV sampling on non-HCS forest areas (areas that would not already be protected under HCSA). However, because the final patch analysis happens at the end of the assessment – there must be consideration of any changes in forest classes on the map and any implications for values in those patches. This is an area that HCVRN is keen to gather lessons learned on - as more integrated assessments are conducted.
- Specific concerns raised by stakeholders (e.g. species, habitats, social values).

Vegetation in non-forest ecosystems

Any non-forest ecosystems in the AOI must be identified and described. The assessment team is expected to have researched the characteristics and potential values present in these areas during the scoping study (aided by the land cover map). It is also important to consult with experts to understand whether these ecosystems are of conservation concern. **If desk-based study or expert consultation has revealed a potential value, then fieldwork is required to better understand the potential values present**. The following may trigger the need to conduct more detailed fieldwork:

- Desk-based review of rare, threatened or endangered databases reveals the likely presence of an herbaceous species of interest

- Consultation with expert (e.g. tropical botanist) reveals concern over presence of species of interest
- Ecosystem used by rare or important faunal species
- Ecosystem contains important species for local livelihoods

Faunal studies

Identification of rare, threatened and endangered animal species (HCV1) or the habitats they use (HCV 1, 2 and 3) can be done through a combination of desk-based research, consultation and field studies. The decision on what field studies to undertake should be based on what information is already available. For example, if a recent bird survey has already been done, then there is no need to repeat the process, but the assessor can instead focus on taxonomic groups that have not been well documented, e.g. aquatic fauna. In addition, species of conservation importance (e.g. mentioned during consultation with biologists) and species that would be particularly affected by the proposed project require more information to make sound management recommendations.

Reference Documents

- Common Guidance for HCV Identification: Section 3.1
- Common Guidance for HCV Management and Monitoring: Section 3.3 and Annex 2

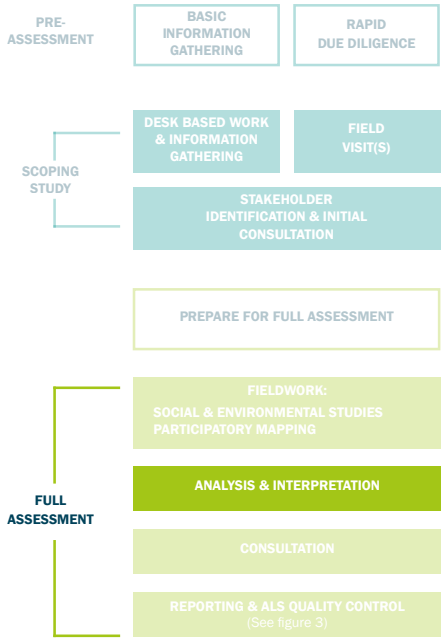
2.5.2.3 Biophysical studies

It is important to describe the main biophysical characteristics of the assessment area including soil, geology and hydrology. The Organisation usually has soil data, and they may have other relevant data sets as well. This section can be brief in the report, but the main value of this kind of data is that it allows the assessor to understand patterns of seasonal flooding, erosion risks, and presence of ecosystem types or species that may be tied to particular soil types or flooding regimes.

2.5.2.4 Verifying the peat study

Under the HCS approach, peat soils (of any depth) cannot be developed. Therefore, they must be identified, so that they can be conserved, and this means that a peat mapping[21] study must be conducted by qualified soil surveyors. This is not necessarily the role of the HCV assessor, and the Organisation will probably commission a separate study. However, the assessment team must have experts who are able to interpret the results of the soil survey, and can do a few spot checks with a soil auger.

21 Peat mapping is a specialised field and should be commissioned separately as it is very intensive and would not be completed within the time frame of the HCV-HCSA fieldwork. Ideally soil studies should be done earlier and the data made available to the assessment team.



2.6 ANALYSIS AND INTERPRETATION

The data analysis and interpretation step is when HCV identification and HCS forest patch analysis is carried out. It is a time to look at all the data gathered, to synthesise and draw conclusions. The goal is to identify values (e.g. HCVs and HCS forest patches) within the AOI that must be conserved for biodiversity and livelihood outcomes. To minimise conflict, it is recommended that the assessment team communicates regularly with the Organisation and with key stakeholders (e.g. affected communities), so they are well informed along the way. Rights-holders must be invited to provide input to the draft maps and recommendations prior to wider stakeholder consultation.

The key tasks[22] in this step include:

- HCV identification
- HCS forest patch analysis
- Identification of local people's lands (including "future livelihood areas")
- Identification of peatland (if relevant)
- Overlay relevant data sets to develop a draft conservation map
- Draft management recommendations
- Prepare for consultation with stakeholders

2.6.1 HCV identification

The assessment team, in consultation with stakeholders and experts, reviews the relevant biological, ecological and social data (primary and secondary) to carry out the identification of HCVs. The assessor must provide explanation and justification, backed by evidence from the assessment, on why each HCV (1-6) is present, potentially present or absent. For detailed guidance on HCV identification, see the **Common Guidance for HCV Identification**. The assessor must also prepare maps of HCVs and HCV management areas.

Reference Documents

- Common Guidance for HCV Identification

BOX 4: USE OF HCV NATIONAL INTERPRETATIONS

HCV National Interpretations may contain valuable information on indicators and information sources to assess nationally important social and environmental values. However, in cases where national interpretations conflict with HCVRN Common Guidance for HCV Identification, the Common Guidance takes precedence. If you have any questions regarding this, contact the HCVRN. When HCV National Interpretations are used this must be clearly stated and justified.

22 These tasks are not necessarily in order and independent. There may be overlaps and the analysis of one area (e.g. HCS forest patches), may help identify other valuable areas (e.g. HCV 1).

Reference Documents

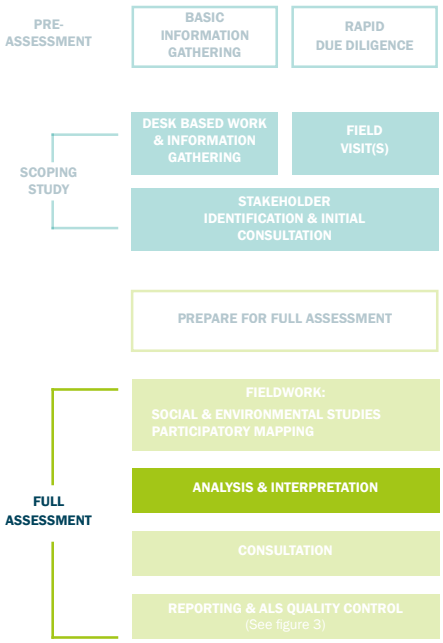
- HCSA Toolkit Module 5

2.6.2 HCS forest patch analysis

In the early steps of the assessment, the team uses remote sensing and ground survey data to develop a map of potential HCS forest areas in the AOI. During the analysis and interpretation step, the HCSA experts use the HCS forest Patch Analysis Decision Tree to determine the importance and prioritisation of each forest patch and whether it needs to be included in the conservation plan, given its size, shape, and connectivity to other patches, riparian zones, peat areas, or HCV areas.

2.6.3 Identification of local people's lands

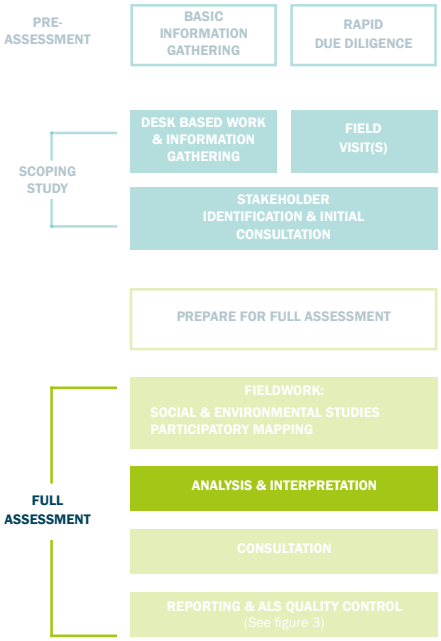
The results of participatory mapping and social studies will provide information needed to determine the quality, extent and location of lands which need to be allocated for future livelihood needs. According to the HCSA Toolkit, while the actual amount of land necessary for food security shall be determined on a case by case basis through collaborative land use planning processes including participatory mapping, a minimum of 0.5 ha of farmland per person in a family unit shall be allocated for this purpose. It cannot be stressed enough that this figure (0.5ha/person) is indicative and the actual amount of land needed for future livelihood needs is likely to exceed that. For the purposes of the HCV-HCSA assessment, the assessor is expected to engage in discussions about lands needed for future livelihoods and to map these whenever possible. However, the figures and maps presented in the assessment report will be considered as indicative only. Figures and maps must be refined and agreed through FPIC during the development of the proposed ICLUP.



2.6.4 Interpreting the peat study

The following can help the assessment team to evaluate the peat study:

- Just identifying peat in a concession is insufficient as not all peat commitments are the same. Beyond best practice management, they are either (a) 'peat swamp forest protection' or (b) 'no new development on peat'. This needs to be distinguished up front as they require different approaches that will need to (a) define and delineate remaining peat swamp forest or (b) define and delineate undeveloped peat regardless of forest status. For 'remaining peat swamp forest' there is overlap between HCSA and peat, while 'no new development on peat' needs to define undeveloped peatland, which is an overlay of existing plantation and peat. In both cases, it would be good to identify the extent of drainage within the area to be protected (i.e. not developed), as these must be restored or rehabilitated.
- Buffer zones are likely to be required to limit spill over effects of drainage into protected peat forest (estimated to be 500m to 1km+ depending on circumstances).
- Peatland management requires the definition of coherent water management zones to create viable, hydrologically connected peat forest / protected peat areas.



2.6.5 Overlay relevant data sets

The assessment team can now overlay all the relevant data sets to get a picture of where all the potential conservation areas are and where the Organisation may be able to proceed with commodity production activities. This provides a visual outcome of all the field studies, desktop studies and participatory mapping that took place during the assessment.

Relevant data sets (maps) to be overlaid include:

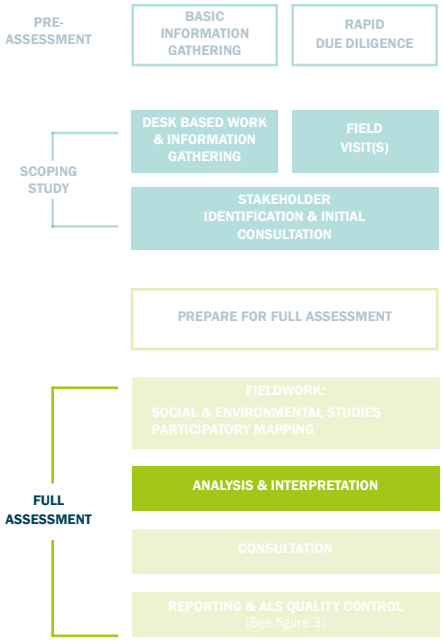
- Location of HCVs and HCV management areas
- Peat soil areas
- Local people's land tenure (including boundaries) and land use (including current and future land/resource use) – at least an indicative area
- HCS forest areas
- Legally protected and required conservation areas (e.g. protected areas, protected peatland, slopes, riparian zones) – if not already included in maps listed above

The outcome of the HCV-HCSA assessment is an assessment report containing the following:

- Identification of values (HCVs, HCS forest, peatlands, local people's lands), supported by evidence
- Maps showing proposed conservation areas, community land use areas, and proposed development areas
- Management and monitoring recommendations

The assessment team is expected to carry out the activities of the Decision Tree through to step 13[23], where the HCS forest patch analysis process is completed. ALS quality control evaluates the HCV-HCSA assessment report that includes proposed conservation areas, community land use areas and proposed development areas but not the proposed ICLUP.

23 Step 13 of the Decision Tree is called "Finalising the proposed ICLUP." However, for ALS purposes the output of the HCV-HCSA assessment which will be quality controlled by the ALS is the assessment report and not a proposed ICLUP. This will become clearer as HCSA develops more guidance on proposed ICLUP development.



Reference Documents

- Common Guidance for HCV Management and Monitoring

2.6.6 Draft management and monitoring recommendations

After analysing findings from the desktop study and fieldwork, and identifying the important values and areas for conservation (i.e. HCVs, HCS forest, peatlands, local people's lands) – the assessment team must produce a set of management recommendations aimed at maintaining the social and environmental values over time. **Management recommendations must be specific to the values identified at the assessment site and linked to maps showing the location of values and management areas**. Management areas, are those areas that must be managed (e.g. protected, actively maintained) to conserve the values which they harbour. Management areas may often be larger than the area where a value occurs. For example, the management area for an endangered species could include nesting and feeding areas. Though management recommendations must be as specific as possible to the values present, the assessor is not expected to present detailed management objectives and targets as would be elaborated in a full management plan.

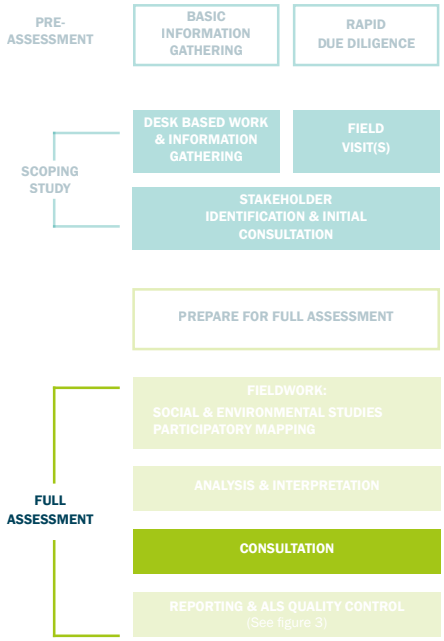
To provide sound management recommendations, the assessor must understand 1) the conditions necessary to maintain social and environmental values over time and 2) the risks or threats facing those values. Monitoring recommendations follow on from the overall management goals. If the aim of management is to maintain values over time, then the goal of monitoring is to track and measure whether the management goals are being met. **Assessors must provide information on potential impacts of operations on HCVs and HCS forest, identify possible approaches for avoiding, mitigating or compensating for negative impacts of operations and gather different perspectives and recommendations on threats and management options**.

Table 6 Example of how to present management and monitoring recommendations

ENVIRONMENTAL AND SOCIAL VALUES TO BE CONSERVED	THREATS TO VALUES	MANAGEMENT RECOMMENDATIONS	MONITORING RECOMMENDATIONS
Sufficient land allocated for livelihood needs of local people.	Immigration to the area, leading to pressure on land and natural resources	Ensure livelihoods support for local people with customary land claims (as documented and agreed in ICLUP). If immigrant workforce is needed for plantation, Organisation must help alleviate pressure on land and resources.	Track livelihood indicators of local people to assess impacts of project.
Peatlands	Drainage, burning, encroachment	Legally protect areas if possible.	Periodic visits to peatlands to measure quality and extent.
HCV 1: Important populations of orangutan	Habitat loss and degradation	Protect habitat and corridors used by species.	• Annual species population surveys (e.g. individuals) • Regular monitoring patrols to maintain HCV area boundaries • Guidance on how to prevent unintended negative impacts after disclosing the presence and location of endangered species
HCV 6: Important cultural or spiritual site for local communities (e.g. waterfall and grove of trees)	Encroachment and pollution	In collaboration with, and with the FPIC of the people concerned, Organisations shall take measures to secure and protect such areas from damage or intrusion, and will ensure and/or limit access to the area, subject to community norms and choices. To maintain the identified values, buffer zones may be established and secured around such areas.	Monitor water and forest quality.
HCS forest patch	Degradation through edge effects or illegal or unsustainable harvesting of resources	Agreement on forest boundaries with the community and demarcation of forest areas for protection.	Monitoring of newly opened areas backed up with satellite-monitoring.

In addition to providing management and monitoring recommendations, in a more general sense, **the assessor must provide a list of activities or processes which need to happen, or are still underway, for example**:

- Some communities may not have consented to participatory mapping and therefore their territories/lands are unmapped and cannot be considered for conservation and development activities. However, in time, such communities may decide to re-engage with the Organisation and request mapping and assessment activities to proceed.
- Some of the final steps of the HCSA Decision Tree, particularly "give and take" of areas involving community land. Any outstanding activities of the Decision Tree must be clearly explained in the assessment report.
- Organisations must recognise and respect people's rights as they negotiate for access, use or restrictions on the use of lands. Organisations shall fully inform communities of the legal implications of accepting the proposed developments and conservation areas and explore options for tenure, management and monitoring. Organisations shall also clarify what restrictions and compensatory benefits would apply to communities' livelihoods and land use options as a result of areas being classed as conservation areas (e.g. HCV areas and HCS forests).
- The Organisation shall accept the agreed maps (made during participatory mapping) as the basis for negotiations about proposed land use for commodity development, the maintenance of livelihoods and conservation areas. Such maps are to remain the property of the communities and only be used subject to their agreement.
- Roles and responsibilities of different actors in management and monitoring.
- Additional capacity building needed for different actors, specifying who (Organisation staff, community leaders, etc.) and what kind of training or support is needed for which management and monitoring recommendations or activities. For example, the Organisation may not have the expertise in house to develop nor carry out, the detailed management and monitoring plan, so expertise and a plan to build necessary capacity may be necessary.



2.7 CONSULTATION

The assessment results and draft conservation map(s) must be shared with affected communities and concerned stakeholders to obtain their views and recommendations through a consultation process. Though consultation, in some form, has taken place throughout the assessment (e.g. consultation during participatory mapping, consultation with experts to discuss results of field studies), this stakeholder consultation is an opportunity to discuss the overall assessment results and management recommendations. Assessors are responsible for documenting and addressing (where relevant and possible) stakeholder concerns.

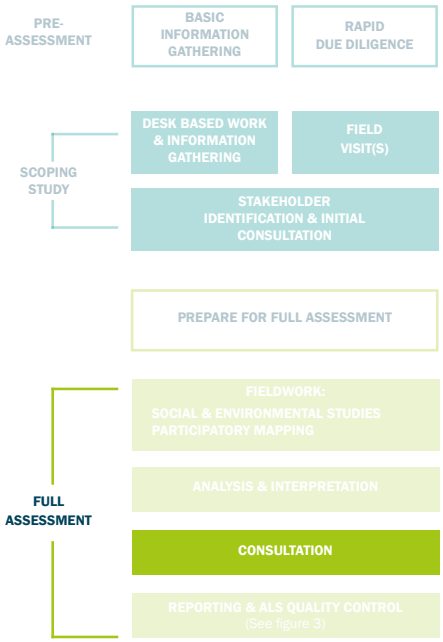
The objective of this consultation is to seek consensus on the values that have been identified and on the locations of the conservation areas. The negotiation of incentives, benefits or compensation packages due to the communities is beyond the scope of the assessment. To ensure that consultations are productive and that stakeholders are well informed, at a minimum, **the assessment team must prepare the following for consultation sessions:**

- Overview of proposed development project
- Key steps of assessment process
- Main findings
    - Description and justification of HCVs and HCS forest identified
    - Maps of areas identified as community lands (current and future)
    - Maps of conservation areas (e.g. HCV, HCS forest, peatland)
    - Identified threats to social and environmental values
    - Management and monitoring recommendations
- Concerns or issues (with assessment process, findings, operations, etc.)
- Any overlapping conservation areas (for social and/or environmental conservation objectives) and how to harmonize their management. For example, implications for community use or access if HCV 4, 5 or 6 areas are designated for HCV 1-3 conservation.

Consultations may be organised in varying formats including village meetings, large presentations to government and NGOs, individual meetings with experts or NGO leaders, etc.

BOX 5: DOCUMENTING CONSULTATION

The assessment report must describe the approach (methods) used for stakeholder consultation, when consultation was undertaken during the assessment, what materials (e.g. maps) and topics were presented for consultation and provide summary outcomes of consultations, including how (where applicable) inputs were later incorporated into the final report. See Annex 4 for consultation documentation requirements. Before including stakeholder names and their concerns or recommendations in the final report, it is necessary to confirm that their concerns and recommendations have been understood and that permission is granted to list their names; this can be done for example by asking people to approve written notes via email[24]. However, in cases where people wish to remain anonymous, this must be respected. Assessors can include stakeholder opinions, concerns and recommendations whilst respecting their anonymity. It is also useful to include a brief description of the assessment team response or how stakeholder concerns were addressed and/or incorporated into the final results and recommendations.



2.7.1 Affected communities

Presenting assessment outcomes to the affected communities in a fully transparent manner is a key requirement of the assessment. This consultation needs to be led by the assessor, but it is recommended that it is carried out in the presence of, or in collaboration with, the Organisation's social team where possible. This consultation must allow the communities to make comments on and changes to the proposed assessment findings.

2.7.2 Organisation

The Organisation is reasonably well-informed because the assessment team has regular meetings or discussion with key Organisation staff regarding the assessment process and findings as they emerge. Management within the Organisation need to understand the outcomes of the assessment, especially regarding the extent of the HCV-HCSA management areas and the reason for conserving them.

2.7.3 Other stakeholders

It is important that other stakeholders such as government departments and NGOs are consulted. Stakeholders who were involved in the data gathering steps (e.g. participatory mapping, fieldwork) are likely to be particularly interested in assessment results. As are those people or organisations who voiced concerns about the development project and/or the assessment process during the early stages of the assessment. Where HCVs 1, 2, 3 or are present, it is important to consult with environmental NGOs and other parties concerned with biodiversity and habitat conservation.

24 It is recognised that this method is most appropriate for government workers, NGO staff and discipline experts from research organisations or universities for example.

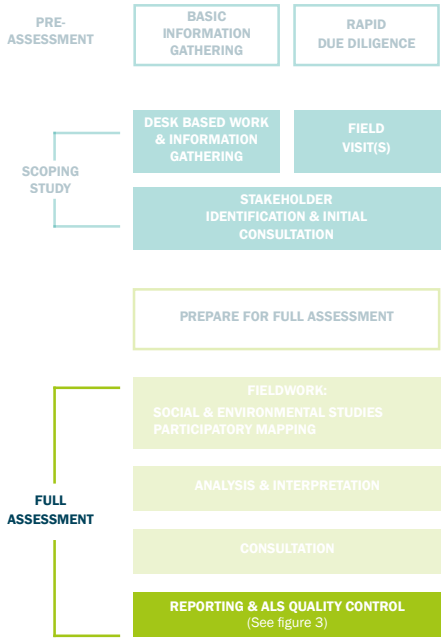
Assessment conclusions and/or recommendations may need to be edited following feedback provided by the communities, other stakeholders and the Organisation. The final consultation process of the assessment may not result in a consensus on all points – and this must be clearly explained in the assessment report. After the assessment report has undergone ALS quality control, if there are significant changes made, that would affect conclusions, recommendations and/or maps, then another round of consultation may be required. For more guidance on this, contact the ALS.

AFTER THE ASSESSMENT, PROCEEDING TO THE NEXT STEPS

FPIC GATE FOR COMMUNITIES:

After the assessment, time must be given for the communities to review the information provided, to consult among themselves and with their chosen advisors, and to reach their own decisions about whether and how to proceed with the proposed development.

It may be that some communities consent to the proposed project, but others may withhold their consent.



2.8 REPORTING AND QUALITY CONTROL

The final step of the HCV-HCSA assessment is the preparation of the assessment report. The assessment report must follow the HCV-HCSA Assessment Report Template and be submitted for quality control by the HCVRN ALS. The ALS evaluates the report content (e.g. identification of values supported by evidence, maps and management recommendations). **There are certain Key Issues which are heavily considered during report evaluation and can influence whether a report is satisfactory or unsatisfactory (e.g. properly documenting stakeholder consultation). These Key Issues are listed in the HCV-HCSA Assessment Report Template.**

Note that there is no requirement for a separate peer review of the report, because the HCSA peer review process has been replaced by the ALS quality control process. The assessment report, with supporting materials[25] (e.g. maps, data), will be an important input to the ICLUP development process, which the Organisation is responsible for facilitating after the assessment report is considered satisfactory by the ALS.

The ALS Quality Panel checks that all the necessary documents have been submitted and fees have been paid. Once the report is considered complete, Quality Panel members conduct a review of the report to assess content quality and structure. If the report is of satisfactory quality and structure, it is considered acceptable as an input to the ICLUP development. If the report is judged to be unsatisfactory (i.e. does not meet the requirements of the ALS), the assessor may resubmit the report twice (for a total of three possible submission attempts). More details on the quality control system for assessment reports is under development. See figure 3 for a schematic overview of the ALS quality control process.

Quality Control Process

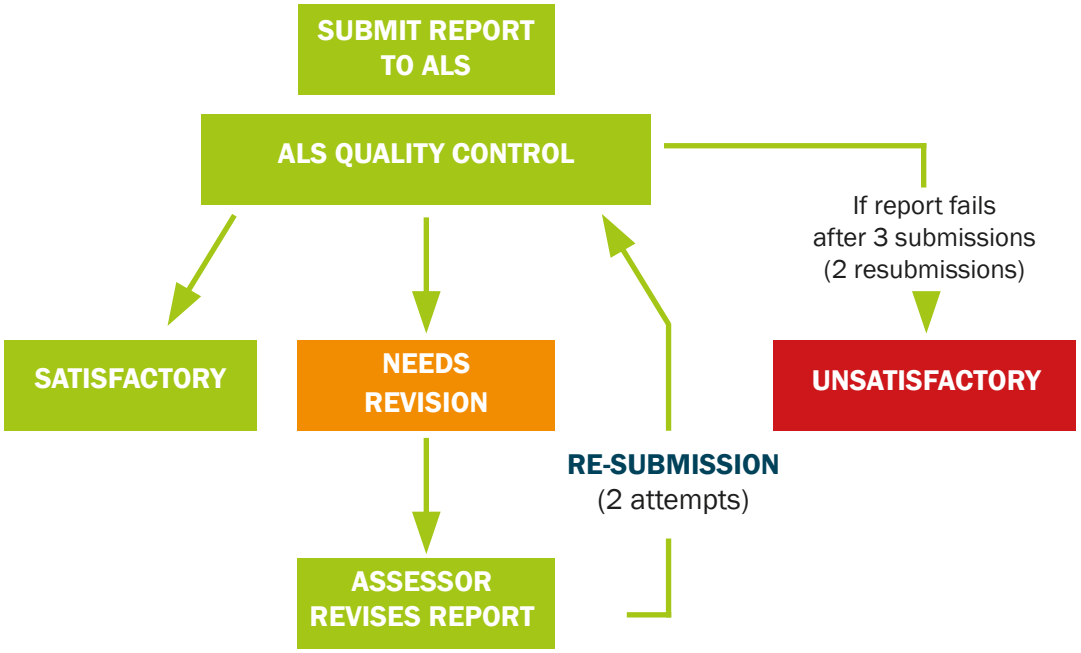


Figure 3 ALS quality control process for HCV-HCSA assessment reports

25 A full list of supporting materials to be submitted with the assessment report is included in the HCV-HCSA assessment report template.

ANNEXES

ANNEX 1: HCV-HCSA ASSESSMENT TEAM TERMS OF REFERENCE

Assessment teams must be composed of professionals with the relevant expertise and experience to conduct a good quality assessment. There is not necessarily a mandatory number of people who must be on the team. Rather the emphasis is on expertise and qualifications. However, it is expected that there will be at least three or four key experts in the team (e.g. team leader, GIS/remote sensing expertise, social expertise, environmental expertise). See below for mandatory and recommended team qualifications. ***Note that during an initial period after the publication of the manual, some of the requirements for assessment team members are flexible and this is described in more detail below.***

LEAD ASSESSOR

Mandatory

- Must hold an ALS licence (either provisional or full)
- Must be a registered HCSA practitioner, trained in HCSA Project Management. ***Note: During an initial period after the publication of the manual, whilst training materials are being developed, it is permissible to have two other people besides the lead assessor, who are registered HCSA practitioners.***
- Strong understanding of the HCV and HCS approaches

Recommended

- Relevant education and/or training in at least one of the fields required for HCV-HCSA assessment
- Local experience within the country or at least the region
- Ability to synthesise a variety of data from desk research and field assessments
- Ability to reach workable consensus on assessment results and management and monitoring recommendations

GIS/REMOTE SENSING EXPERT

Mandatory

- Must be a registered HCSA practitioner trained in HCSA Module 5
- Expertise in using software appropriate to data needs

Recommended

- Experience doing HCS forest plots in the country. This will allow him/her to stratify forest classes with knowledge of what they look like on the ground.

OTHER TEAM MEMBERS

Other team members may also hold ALS licences or be registered HCSA practitioners (at least two team members must be registered HCSA practitioners). Eventually the lead assessor must be an HCSA practitioner, but in the initial period after the publication of the manual, there is flexibility on this. **Please contact the HCVRN ALS for clarification if needed.**

Forest survey team

There are specific guidelines on team composition for forest survey teams in Module 4 (Section C) of the HCSA Toolkit. Refer to these when determining who will lead the forest survey team and who will be needed as survey team members.

Social experts

At least one of the team members must have social expertise. The following is a general guide:

- Knowledge and practical field experience within the local context
- Can speak fluently in national language and ideally one or more relevant local languages
- Knowledge of and practical experience in the use and application of community facilitation/ participatory mapping methods and social science methods
- Thorough knowledge of customary land use systems
- Understanding of GIS is ideal

Biodiversity/ecology experts

There is no required number of experts, or required disciplines. Rather, it depends on the assessment site and what field studies are required. However, the following is a general guide:

- Practical experience in applied conservation biology
- Understanding of landscape conservation approach
- Understanding of peatland and requirements for peat conservation
- Some specialisation in ecology of important species groups
- Knowledge of and practical experience in the use and application of relevant ecological survey methods
- Understanding of GIS is ideal

ANNEX 2:
ASSESSMENT PLANNING CHECKLIST

PLANNING TOPICS	NOTES
Assessment team: ToR, qualifications, availability, contracts	
Communication with Organisation: is the Organisation helping to arrange logistics or cover certain costs? Clarify this in advance	
Domestic travel: flights, vehicles, road safety, boat travel, etc. Also consider access challenges due to security, terrain, weather, etc.	
Transport in the field: Ensure adequate transport to carry out the sampling plan (i.e. cut transects, set up plots, etc.) and social studies. This needs to be communicated to the logistics manager well in advance, especially for very large projects.	
Accommodation: staying on site or in a nearby town, are field teams camping? Access to food and water.	
Health and safety: vaccinations, health insurance, protective equipment if necessary (e.g. life jacket for boats)	
Preparation of data sheets, questionnaires, etc.	
Equipment: compass, GPS units, measuring tapes, etc.	
Reference documents: Copies of HCVRN guidance and national interpretation of HCVs if available, copy of HCSA Toolkit modules, HCSA Social Requirements Implementation Guide (2018), Assessment Manual, etc.	
Supplies: food rations for the field, fuel.	
Documents/data: Access to any data and documents identified as crucial for assessment.	

ANNEX 3:
INFORMATION NEEDS CHECKLIST

DESK-BASED DUE DILIGENCE AND INFORMATION GATHERING		
PROJECT CHARACTERISTICS	**NOTES ON WHAT IS KNOWN**	**INFORMATION GAPS (TO FILL DURING SCOPING STUDY AND/OR FULL ASSESSMENT)**
Location		
Size of the operational area (ha)		
Description of project (e.g. forestry operation, oil palm plantation, etc.)		
Current land cover/land use		
Is the planned land use a continuation of existing use (e.g. forestry within a forested landscape, agricultural production within a mainly agricultural landscape) or does the planned land use involve conversion of natural vegetation?		
What is the intensity of land/ resource use (e.g. community forestry, artisanal logging, industrial selective logging, rotational clear felling, agricultural plantation, etc.)?		
Which are the communities potentially affected?		
Has the Organisation started a FPIC process? Is there a description/timeline of FPIC activities undertaken and planned?		
Has it been agreed how/who will stakeholders be represented in FPIC process?		

THE FOLLOWING CAN BE COLLECTED DURING THE SCOPING STUDY AND FULL ASSESSMENT PHASES		
DATA SOURCES	**NOTES ON WHAT IS KNOWN**	**INFORMATION GAPS (TO FILL DURING SCOPING STUDY AND/OR FULL ASSESSMENT)**
HCV National Interpretation (if available)?		
SEIA (if available)		
Relevant websites and publications		
Existing maps		
Relevant studies or reports (often unpublished)		

THE FOLLOWING CAN BE COLLECTED DURING THE SCOPING STUDY AND FULL ASSESSMENT PHASES		
LANDSCAPE	**NOTES ON WHAT IS KNOWN**	**INFORMATION GAPS (TO FILL DURING SCOPING STUDY AND/OR FULL ASSESSMENT)**
Does the surrounding landscape contain protected areas, key biodiversity areas or well managed ecosystems?		
Does the surrounding landscape contain extensive agriculture, heavy industry, pollution sources, dense human settlements etc.?		
Are there large natural landscape features (forests, grasslands, rivers, watersheds, etc.)?		

THE FOLLOWING CAN BE COLLECTED DURING THE SCOPING STUDY AND FULL ASSESSMENT PHASES		
BIODIVERSITY AND ECOSYSTEM CONTEXT	**NOTES ON WHAT IS KNOWN**	**INFORMATION GAPS (TO FILL DURING SCOPING STUDY AND/OR FULL ASSESSMENT)**
Ecosystem types and quality (including freshwaters)		
Does the area support ecosystems/habitats which are rare or poorly protected in the country?		
Flora and fauna (including presence of rare, threatened and endangered species and nationally protected species)		
Production of maps – which maps are needed? What information is needed?		

THE FOLLOWING CAN BE COLLECTED DURING THE SCOPING STUDY AND FULL ASSESSMENT PHASES		
SOCIAL CONTEXT	**NOTES ON WHAT IS KNOWN**	**INFORMATION GAPS (TO FILL DURING SCOPING STUDY AND/OR FULL ASSESSMENT PHASE)**
Location and size of human settlements (e.g. isolated settlement, seasonal camps, villages, towns, cities, etc.)		
General population information: size, ethnic groups, migration trends, organisation and representation.		
Livelihood activities: reliance on natural resources (e.g. agriculture, fishing, gathering, hunting, water).		
Land tenure system (legal and customary legality, how the rights of land can be transferred). Land and resource claims overlapping assessment area.		
Infrastructure (roads, education, healthcare, markets, dams).		
History of settlement, land and resource use and social/political organisation.		
Cultural sites, cultural values and beliefs linked to natural resources and overlapping with assessment area.		
Production of maps: participatory mapping is required in all cases where people live in or have resource claims overlapping with the AOI.		

ANNEX 4: DOCUMENTING STAKEHOLDER CONSULTATION

Stakeholder consultation is expected to take place throughout the assessment. Consultation is likely to begin during the information gathering step, and even during the due diligence step. Consultation continues during the scoping study, when the assessor is likely to make the first visit to communities which will be affected by the planned project. During the field studies (especially social studies) consultation continues. Finally, consultation must be held with affected communities on the results of the HCV-HCSA assessment. In addition to this kind of consultation, there may be a formal public consultation on the final results held as part of certification scheme requirements.

Detailed documentation must be kept of all consultations, including:

- **Date**
- **Stakeholder details**
  - title or role
  - organisation or social group (e.g. farmers, elders, companies, government, village administration, expertise, etc.)
  - method of consultation - i.e. the type of interaction: group meeting, individual meeting, phone call, etc
  - description of information that was shared with the individual/ audience and mode of presentation (e.g. written, visual presentation)
  - summary of key concerns/recommendations
  - brief description of the assessment team response or how stakeholder concerns were addressed and/or incorporated into the final outcomes (e.g. management recommendations)

From this detailed documentation, a summary table of stakeholder consultation outcomes must be presented in the final assessment report (see HCV-HCSA Assessment Report Template).