



HCV RESOURCE
NETWORK

ASSESSOR LICENSING SCHEME

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Date	20 Dec 2018	

Guidance for using the **HCV-HCSA** assessment report template

About the report template and guidance

This document provides detailed guidance for preparing an HCV-HCSA assessment report according to Assessor Licensing Scheme (ALS) requirements. It explains what is required for different sections of the report so that you know what the ALS Quality Panel will be evaluating. If you have any questions or need further clarification, please contact qualitymanager@hcvnetwork.org

Most sections have a brief explanation of what is required, unless it is self-explanatory (e.g. the date of report submission). Throughout the document we also highlight **particularly important text** and use icons to remind you when something is a key issue or when a map is required.



Key issue



Required map

This report template is based on the HCV-HCSA Assessment Manual and it must be used for all HCV-HCSA assessment reports submitted to the ALS for evaluation. In addition to report structure and content, the length of the report has an impact on report evaluation. We have provided guidance on the length (number of pages of text) for each section. **It is not a strict requirement to adhere to the page limits for each section, rather it is important that the overall report length does not exceed 75 pages.** If the report exceeds the recommended length, the assessor may be asked to condense certain sections before the report evaluation can begin – thus delaying the outcome.

Note: Page limit guidance refers to pages of text only. The following are not counted in the page limit: cover page, acronym page, maps, tables, figures, references and annexes.

Overall page limit is 75 with the following recommended page limits for each report section:

01 Introduction	5 pages
02 Assessment team	1 page
03 Assessment timeline	1 page
04 Pre-assessment	4 pages
05 Scoping Study	4 pages
06 Description of the AOI	12 pages
07 Social section: methods and results	16 pages
08 Environmental section: methods and results	16 pages
09 Patch analysis	5 pages
10 Management and monitoring recommendations	6 pages
11 Final consultation	3 pages
12 Next steps	2 pages

Reference documents to be used:

*Always check that you are using the most recent version of these documents. If there is a new version, ALS will communicate this to assessors via email.

- HCV-HCSA Assessment Manual (November 2017)
- HCSA Toolkit V. 2.0 (May 2017)
- Common Guidance for the Identification of HCVs (October 2013)
- Common Guidance for the Management and Monitoring of HCVs (September 2014)
- Implementation Guide for the Social Requirements of the High Carbon Stock Approach (upon publication)
- National HCV interpretation(s), where available. It is useful to refer to National HCV interpretations, but note that the global guidance takes precedence in terms of official definitions and interpretation of the HCV approach. You must specify if an HCV national interpretation was used as the primary reference to interpret HCV presence.

To help reduce report length and to avoid repetition, do not include copied sections of text from the above reference documents. Instead, simply reference the relevant sections or pages from these documents.

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Cover Page: HCV-HCSA assessment report

Date contract for assessment was signed	
Assessment start date (month/year)	Enter the date the assessment began. This should be when assessment activities (e.g. pre-assessment phase information gathering) first started. You can mention the exact date if known, but at least the month and year must be given here.
Date of first report submission to ALS	
Date of first report resubmission (if applicable)	
Date of second report resubmission (if applicable)	
Name of ALS lead assessor	
Contact information of lead assessor (Organisation or institution, address, email, telephone, Skype)	Enter your Organisation or institution (if applicable), address, email, telephone and Skype contact information. Note that contact information will not be posted publicly on the ALS website. Please indicate if there is a preferred contact method for the ALS Quality Manager to reach you.
Contact information of Organisation commissioning the HCV-HCSA assessment (name, address, email, phone)	Enter the contact information for the person in the commissioning Organisation who is the main relevant contact. This person will also be contacted by ALS throughout the report evaluation process. Please indicate if there is a preferred contact method.

Acronyms and abbreviations

Add these as relevant, for example common ones include:

- AOI** Area of Interest
- FPIC** Free Prior and Informed Consent
- HCS** High Carbon Stock
- HCSA** High Carbon Stock Approach
- HCV** High Conservation Value

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List of required maps

Required elements for maps:

Maps must be clear for the reader (e.g. of adequate resolution, presented at a scale sufficient to interpret the information they display, using distinguishable colours and patterns (or symbology) and readable font sizes and be clearly labelled). All maps must include legend, gridlines, scale bar, orientation (i.e. north/south arrow), data sources, datum/projection, creation date, map version and coordinates. Maps must be marked as draft if applicable and there must be an explanation of what is recommended to move from a draft to a final map version. This could be part of the recommendations or next steps section of the report.

List all maps found in the report and indicate where (page number) all required maps can be found in the report.

Required maps	Section where map is located (please add page number)
Map showing location of the management unit (MU) (area where the commodity production activity will take place – this could be MU, concession, etc. depending on what is appropriate for the context) in the country. Map must also show major infrastructure (roads and tracks) and surrounding land uses	1.2 Location of the assessment
Sites/locations visited during scoping study (e.g. ground truthing sites for land cover classification, settlements, habitat types)	5.1 Summary of scoping study activities
Map of Area of Interest (AOI) with the boundaries of the wider landscape and management unit	6.1 Boundaries of the AOI
<ul style="list-style-type: none"> Map showing the AOI relative to protected areas or conservation priority areas in the wider landscape Map showing watershed boundaries, important rivers and other water bodies in the AOI 	6.2 and or 6.3 Biological and ecological characteristics
Map showing human settlements overlapping the AOI. Village boundaries (formal or customary) must be shown (where available). It must be clear where the MU overlaps with boundaries of human settlements.	6.4 Social, cultural and economic characteristics
Map of land cover classification output - final (revised) vegetation classes	6.6 Image analysis and land cover classification
<ul style="list-style-type: none"> A map to show where participatory mapping was conducted. Maps for each type of field study showing e.g. location of studies (as applicable). 	7.1.2 Social methods 8.1.2 Environmental methods

Maps resulting from participatory mapping with local stakeholders	7.2.3 Results of social fieldwork Or, as relevant in 7.2.4, 7.2.5, 7.2.6 and 7.2.7
A different HCV map must be presented for each of the HCV categories (1-6) identified during the assessment (present or potentially present). If the HCV can easily be identified as a point on a map (e.g. a hunting camp) then that is the HCV location. In other cases, the HCV map will show an HCV area (the area where an HCV is present or potentially present). E.g. area where tigers or wide-ranging species occurs (or may occur). Maps must show HCVs inside the MU and where the HCV extends into the wider landscape. Maps must include landcover layer.	In sections 7.2 and 8.2 for all the relevant subsections where HCVs have been identified (present and/or potentially present)
Peat map (if applicable)	8.2.5 Peat
Map of all proposed HCS forests	9. Patch analysis – in relevant step of the Decision Tree
HCV management areas for all identified HCVs (present or potentially present).	10. Management and monitoring recommendations for each value.
Summary map showing all values identified and all management areas with boundaries of MU and wider landscape. Map must include landcover layer.	10.4 Summary map

Other maps may include e.g.:

- Slope and elevation maps
- Fire historical map - this site may be useful: <https://firms.modaps.eosdis.nasa.gov/download/>
- Indicative map of local people’s future lands (if available)

List of required supplementary materials

These materials are submitted along with the assessment report:

Guidance on shapefile format is being developed and will be shared as soon as possible.

- Input satellite imagery used for classification, lidar or aerial photographs. Minimum 300 dpi, with sufficient resolution to re-do analysis
- Shapefiles of HCVs or HCV areas (proxies for where HCVs occurs)
- Shapefiles of HCV management areas
- Shapefiles of community land use and land tenure
- Shapefile of final land cover classification
- Complete forest plot data: Raw and processed data for each plot and summary data at plot level.
- Complete species list with wood density assumptions (if relevant)
- Shapefiles of HCSA forest inventory plot locations
- Shapefiles for each step of the HCSA Decision Tree
- Shapefiles of HCS forest patches. Each patch must be numbered using the GIS coordinates of the centre of the patch.

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01 Introduction

01.1 Purpose of the assessment

Provide an overview of the purpose of the assessment (e.g. to comply with certification scheme requirements, to comply with NDPE¹ commitment, etc.). Describe the current or proposed project and its present situation (e.g. forestry or agriculture) and specify if it is a new development or expansion or rehabilitation of existing agricultural land. What kind of development is planned or on-going? What is the type of lease or ownership arrangement? What is the proposed start date of production activities, what are the proposed extent and dates of conversion or clearing (if applicable). What is the size (ha) of the development area²?



01.2 Location of the assessment

Describe the geographical location of the assessment (including name, location, area (ha) and coordinates of the development area). Include a map showing where the assessment took place within the country (i.e. map must indicate where the assessment site is in relation to the whole country). A detailed description of the AOI (development area + wider landscape) is included in section 6.

01.3 Overview of the Organisation commissioning the assessment

Provide an overview of the Organisation commissioning the assessment. What kind of Organisation is it? Does the Organisation have multiple developments in the country or region? Is the Organisation a member of a certification scheme or in the process of joining one? Is the development area/commodity already certified or is the Organisation pursuing certification? Is it a subsidiary of a certified company? Has the Organisation been the object of any complaints or campaigns?

01.4 Brief national or regional context

Provide a brief overview of any directly relevant information regarding the national or regional context within which the assessment took place. For example, information on national policies or plans (including national land use plan or any policies or regulations affecting the relevant sector, e.g. deforestation moratoriums) that may be relevant to the findings of the assessment. Please keep this section brief, as the focus of this report is on the AOI.

¹ NDPE: No deforestation, no peat, no exploitation

² The “development area” refers to the area where there are commodity development plans or current operations. This may be the same as the concession boundaries, the management unit, the permit or lease area, etc.

02 Assessment team

This section must show that a qualified team conducted the assessment. There are mandatory requirements concerning the lead assessor and the need for registered HCSA practitioners.

Complete the following tables. **CVs (max two pages) of all team members must be included in an annex.**

Lead ALS assessor and GIS/remote sensing expert

The lead assessor holds an ALS licence (provisional or full) and is a registered HCSA practitioner. The GIS/remote sensing expert (the person responsible for the land cover classification, HCS forest identification and patch analysis) is a registered HCSA practitioner.

Name	Role	Institution (if relevant)	Relevant expertise (e.g. plant taxonomy, hydrology, etc.)	Relevant country or regional experience (including language proficiency)
	Lead assessor			
	GIS and remote sensing expert			

Environmental and social experts in the assessment team

Name	Role	Institution (if relevant)	Relevant expertise (e.g. plant taxonomy, hydrology, anthropology, participatory mapping etc.)	Relevant country or regional experience (including language proficiency)

Forest inventory team

*CVs not required

Name	Position
	Team leader
	Species identification technician
	Measuring assistant
	Plot cleaner
	Hip chain operator
	Compass man
	Line cutter

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03 Assessment timeline

Provide a detailed assessment timeline (including pre-assessment, scoping study and full assessment) clearly showing time in the field including dates, duration and location. The scoping study section below is where to provide details on activities conducted during the scoping study. Maps showing locations of the field activities must be included in sections 5.1, 7.1 and 8.1 below.

Also mention timing of any other related major assessments, including social baseline study, land tenure study, peat study, ESIA etc. Explain how the HCV-HCSA assessment was coordinated or combined with other studies or assessments if relevant.

04 Pre-assessment

We recommend an introductory paragraph on the pre-assessment and how the assessor began the assessment activities, such as collecting initial basic information and communicating with the Organisation.



04.1 Due diligence

Refer to manual section 2.2.2 and to the Implementation Guide for the Social Requirements of the High Carbon Stock Approach (Social Guidance). The whole due diligence table (four preconditions) is the key issue; therefore, the explanation for each precondition must be satisfactory.

For this section, the ALS does not expect the assessor to be a legal expert or to confirm compliance of companies. Instead, we simply want to see that the assessor has raised these four topics (pre-conditions) with the commissioning Organisation and that there is an explanation (with evidence if possible) for each.

For each of the four preconditions below, provide an explanation (with evidence if available included as an Annex) of how the Organisation met the pre-conditions before the full assessment took place. Field verification of these preconditions takes place during the scoping study and full assessment. Once again, the assessor is not responsible, for example, for confirming the authenticity of a land permit – but if concerns are identified during stakeholder consultation, this must be included in the report.

Preconditions to be met by the Organisation

1. Commitment to environmental and social safeguards

Explanation

Provide information on how the preconditions have been met.

2. Moratorium on any land clearing or land preparation until the proposed Integrated Conservation and Land Use Plan (ICLUP) has been completed

Explanation

Provide information on how the preconditions have been met.

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3. Demonstrated legal right over or permission to explore Area of Interest

Explanation

Provide information on how the preconditions have been met. **Note, that legal rights are most likely connected to the MU and are unlikely to include rights to explore or develop the wider landscape.** Has the Organisation provided a map with the coordinates of the MU (lease/permit/concession area)?

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

Explanation

Provide information on how the preconditions have been met. See the Social Guidance step 1.3 Initiate engagement with affected communities to check for what the Organisation is required to do. Check for the following outputs: The designation of communities as affected, their initial FPIC to the continuation of the process, and the specification of mechanisms for subsequent interactions between communities and the company. These arrangements and the agreement are set out in a written document that is signed or otherwise formally validated by the Organisation and by the freely chosen representatives of the communities that have agreed to take part. A detailed record is made of the meetings that have taken place, including attendees, content and outcomes.

04.2FPIC gate

See Manual Section 2.2.3. Briefly (a paragraph) explain how information gathered during the pre-assessment phase led you to proceed with the scoping study.

05 Scoping Study



All of section 5 is a key issue.

05.1 Summary of scoping study activities

This section must explain the activities and findings of the scoping study (including the required field visit). See manual section 2.3.5 for detailed guidance. Describe the different activities conducted during the scoping study, along with the dates of when those activities took place. You must also provide a map or maps of the locations visited during the scoping study (e.g. where did you conduct field visits? where did you ground truth initial land cover classification? which villages or other areas of interest were visited?).



Timeline of scoping study

Add or edit activities as relevant

Activity	Description	Timing
Information gathering		
Field visit(s)		
Visiting sample of communities		
Ground truthing initial land cover map		
Stakeholder identification and initial consultations		

05.2 List of consultations

Provide details on people and/or groups consulted during the scoping study. This may include a selection of local communities, technical experts, company representatives, government, social and environmental NGOs, etc.

Experts and stakeholders contacted/consulted during the scoping study

Add rows to table or additional information as relevant

Name	Title/role	Organisation/social group	Key concerns & recommendations

05.3 FPIC gate

See manual section 2.3.5. Briefly (a paragraph) explain how information gathered during the scoping study led you to proceed with the full assessment.

06 Description of the AOI

For section 6, it is only subsection 6.1 that is a key issue.



06.1 Boundaries of the AOI

Describe the AOI (MU plus the wider landscape) and the rationale for the determination of AOI boundaries. See manual Section 2.3.1 and HCV Common Guidance for Identification Section 2.3. 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 management unit 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 management unit

Note that for option C (using an arbitrary radius of 5km) there is a risk of excluding important HCV information for the wider landscape. For example, if a protected area is located 6 km from the development area, it is still important to include this information in the assessment of HCVs.



A map showing the MU and the wider landscape boundaries and reflecting the criteria used to define it must be included. The AOI map must include the landcover layer.

The following information is important to include:

- time of any cut-off date of the certification scheme (if applicable)
- time when the company obtained permit/licence
- time when the assessment was conducted

All with satellite images and the respective land cover interpretation.

Sections 6.1 through 6.6 must focus on the characteristics of the AOI and not general information about the country or region. However, relevant information about the area beyond the AOI can be included if it is directly relevant to the social and environmental values of the AOI.



06.2 Physical and environmental characteristics

Describe such features as: topography, climate, major landforms, geology and soils and hydrology (watersheds, etc.). A map showing important watersheds, rivers and other water bodies in the AOI must be included.



06.3 Biological and ecological characteristics

Describe such features as: Biogeographic zones, ecosystem types, presence and condition of protected areas, forest reserves, important biodiversity areas, occurrence of known populations of species of global concern, migration corridors, wetlands, peatlands, Intact Forest Landscapes (IFL), etc. Explain if it is a low, medium, or high forest cover landscape (see HCSA Toolkit Module 5). Insert map(s) of the site within the wider landscape, with any nearby protected areas labelled.



06.4 Social, cultural and economic characteristics

Describe the social, cultural and economic characteristics of the AOI including names and locations of settlements, population, ethnicity, socio-economic activities, religion, health, infrastructure, education, community organisations and customary rights to land and resources. The assessor should reference the Social Baseline Study and other resources such as any Social Impact Assessment that has been conducted in the recent past (i.e. less than three years old at the time of the assessment). Insert a map showing the human settlements (boundaries and centre point) overlapping the AOI.

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06.5 Land use and development trends

History of land use and development trends including future plans (e.g. road building), development initiatives and existing/proposed commercial exploitation and production licenses. Brief history of forest disturbance in the area, drivers of deforestation.



06.6 Image analysis and land cover classification

For quality assurance purposes focus on clearly describing the method used and the justification for the method. The emphasis is on the quality of the results and the ability of the data to generate the required quality of result. Refer to HCSA Toolkit Module 4. Describe methods used for image analysis and land cover classification, including:

- Date of images. This should be as close as possible to the dates of the field assessment (and no older than 12 months).
- Source of images
- Justification for use of image dataset
- Classification procedure including details on segmentation, classification algorithms and calibration
- Software used
- Pre-processing – if relevant
- Raw image information on how the bands were put together
- Fieldwork (note that detailed field methods and analysis of plot data should be presented in 8.1.2 and 8.2.3)

An accuracy assessment for the landcover classification must be conducted to determine whether the landcover map can be used to do spatial analysis or whether there are no significant differences between the landcover map and the “real world” on the assessment day.



Explain how you moved from the initial to the final land cover classification. Include description of desk-based work, scoping study field work, data training and validation, show classification of polygons (samples) used and matrix. Insert a map of the final (revised) land cover map. Land cover classes must be clearly described. **The land cover map is the basis for other field studies, and it must be shown how sampling strategies and survey designs were based on the land cover map.** Mention how non-HCS forest vegetation classes of potential importance for the HCV

assessment have been mapped, e.g. swamp forest, riparian forest, mangroves etc. and provide a description of these in the relevant section (e.g. environmental methods).

Include a description of how HCS forest classes relate to national land cover classes. Where the land cover classifications differ from HCSA Toolkit, prepare a crosstab showing the relationships between the HCSA and national systems.

Provide indicative photos to characterise the vegetation classes for the reader. Refer to data from sample plots in Section 8.2.2. Describe how the photos were classified.

07 Social section: methods and results



07.1 Social methods

Describe social methods used in the assessment, with a focus on literature review, use of secondary data (see manual section 2.3.2) and fieldwork carried out by the assessment team.

Choice of methods and sampling (sample size and design) must be justified.

07.1.1 Literature review and use of secondary data

Provide a description of the methods used in desk-based information gathering activities. All literature and secondary data must be listed in the reference section. The assessor should be familiar with the HCSA Social Requirements Implementation Guide (upon publication), which describes required social reports such as the Social Baseline Study and Land Tenure and Use Study (with initial participatory mapping) which the company is responsible for.



07.1.2 Social fieldwork

This refers to primary data collection conducted by the assessment team. Summarise methods and justify choice of method and sampling. Detailed methods should be annexed, including copies of interview guides, surveys, etc. A map or maps of where social fieldwork was conducted must be included in the report. These maps must be overlaid on a map presenting information regarding land tenure and land use. Mention how methods were participatory and representative of all groups, if relevant. How many and which communities and other stakeholders were involved and through what methods? **Mention how FPIC was considered in methods if relevant.** Note if any communities refused to participate in the assessment or/and have not granted FPIC for the assessment activities.

Social methods include e.g.:

- Participatory mapping
- Household surveys
- Focus groups discussions
- Seasonal calendars
- Interviews



Note that **participatory mapping is required.** See appendix 3 of the Social Implementation Guide and manual section 2.5.1.1. Describe how participatory mapping was conducted and show on a map where participatory mapping activities took place. The results of participatory mapping must be used as supporting evidence for HCV identification and recommendations on future allocations of land for local people.

07.2 Results: Social HCVs and livelihoods

This section must clearly present the results of the assessment, adequately justified and supported by evidence. Where evidence is weak or results are uncertain, **assessors must demonstrate appropriate use of the precautionary approach** (see 2.6.2 of Common Guidance for Identification of HCVs). **Limitations of studies, fieldwork, etc. must always be clearly explained – and particularly so for cases where fieldwork was very brief (i.e. three months or less for full assessment).** Discuss how limitations will affect the outcomes of the assessment (for example: HCV maps will be draft until studies completed; recommendations included to halt development until all pending social studies completed).

07.2.1 Summary of interviews and discussions

Stakeholder consultation is an important step towards the end of the assessment (see section 11). However, throughout the assessment, there should be interaction with various stakeholders (e.g. affected communities, hunters, fishers, farmers, village authorities) and experts (social NGOs). In this section, describe the results of these interactions. These consultations may cover social and environmental topics together of course. What is important is that the consultation is listed (who was consulted and what were the concerns or topics). Include the type of interaction (e.g. group meeting or workshop, individual interview, email, letters, phone calls) in which interactions took place. **Add more lines as necessary to the table. Include detailed records of interviews and discussions in an annex.**

Expert/Organisation/ social group	Name/title/role – as relevant	Type of interaction	Concerns and/or recommendations?

07.2.2 Status of FPIC

Provide an overview of the status of FPIC in the MU by the end of the assessment. This should include how you verified the FPIC-related information gathered during the due diligence step, and how advanced the FPIC activities are by the end of the assessment. Refer to manual section 1.6 for details on FPIC during the assessment. In the annex include evidence: meeting minutes, attendance records etc.

07.2.3 Results of social fieldwork

Participatory mapping

Give an overview of the results of participatory mapping. This must form the basis for HCV identification and recommendations regarding local peoples lands below. Briefly describe any participatory mapping activities that took place before the assessment began (e.g. as part of the land tenure study).



Insert geo-referenced maps that were produced from participatory mapping here or in the relevant section on HCV 5 and 6 identification, or local people’s lands and future livelihood security.

Other social fieldwork

As relevant, insert results of social fieldwork conducted during the assessment. Add relevant subtitles for different social fieldwork conducted.



07.2.4 HCV 4: Ecosystem services in critical situations

Considering all elements of the HCV 4 definition, provide a clear decision on presence, potential presence or absence of HCV 4, supported by evidence (i.e. literature review, fieldwork, consultation). It is insufficient to declare “potential presence” of an HCV without providing an evaluation of the likelihood of presence and the limitations of current knowledge. If a value is deemed potentially present, the precautionary approach should be used, otherwise a detailed outline of what needs to be done to identify the HCV for certain is required. HCV 4 draws on both social and environmental results to designate HCVs. Avoid duplicating information but provide a brief reference and explanation to environmental information. For example, refer to slopes and riparian buffer zones which link to section 8 (Environmental methods and results) on topography and hydrology as relevant.

HCV 4	Finding
Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.	Insert: Present, Potentially Present, Absent



Insert map of HCV 4. Maps must show HCV 4 for the entire AOI where the HCV extends into the wider landscape.



07.2.5 HCV 5: Local people’s basic needs

Considering all elements of the HCV 5 definition, provide a clear decision on presence, potential presence or absence of HCV 5, supported by evidence (i.e. literature review, fieldwork, consultation). It is insufficient to declare “potential presence” of an HCV without providing an evaluation of the likelihood of presence and the limitations of current knowledge. If a value is deemed potentially present, the precautionary approach should be used, otherwise a detailed outline of what needs to be done to confidently identify the HCV is required. The identification of HCV 5 must be supported by evidence from participatory mapping and stakeholder consultation and must refer to needs of each community/group found in the area, as needs are likely to vary from one community to another.

HCV 5	Finding
Sites and resources fundamental for satisfying the basic necessities of local communities or indigenous peoples (for livelihoods, health, nutrition, water, etc...), identified through engagement with these communities or indigenous peoples.	Insert: Present, Potentially Present, Absent



Insert map of HCV 5.

Maps of HCV 5 must show HCV 5 for the entire AOI, including areas of use outside the assessment site, where the HCV extends into the wider landscape (e.g. areas of use outside the assessment area, when such areas will replace present areas of use inside the assessment site).



07.2.6 HCV 6: Cultural values

Considering all elements of the HCV 6 definition, provide a clear decision on presence, potential presence or absence of HCV 6, supported by evidence (i.e. literature review, fieldwork, consultation). It is insufficient to declare “potential presence” of an HCV without providing an evaluation of the likelihood of presence and the limitations of current knowledge. If a value is deemed potentially present, the precautionary approach should be used, otherwise a detailed outline of what needs to be done to identify the HCV for certain is required. The identification of HCV 6 must be supported by evidence from participatory mapping and stakeholder consultation.

HCV 6	Finding
Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/ sacred importance for the traditional cultures of local communities or indigenous peoples, identified through engagement with these local communities or indigenous peoples.	Insert: Present, Potentially Present, Absent



Insert map of HCV 6 Map. Map must show HCV 6 for the entire AOI, where the HCV extends into the wider landscape.

07.2.7 Local people’s lands and future livelihood security



For the purposes of the HCV-HCSA assessment, the assessor is expected to engage in discussions about lands needed for future livelihoods. **Present an overview of these discussions and activities and include any indicative figures and maps (labelled as “draft”).** Figures and maps must be refined and agreed through FPIC during the development of the proposed ICLUP. Refer to manual section 2.6.3. **Clear recommendations must be given in the Next Steps section.**

Livelihood and food security needs must be taken fully into account as part of this consultation. Estimates of future livelihood needs must be made in collaboration with local communities and need to take account of a wide range of factors including, as appropriate: the projected time-span of the planned development, current land-use and livelihood patterns, expected changes to these due to the planned development and conservation areas, expected population changes and impacts, expected employment and indirect income from the development, expected contributions from the company to social and economic infrastructure, possible changes in government policies or other regulations, and any other relevant factors. The differential impacts on the various sub-groups within communities must also be considered, according to gender, ethnic group, or socio-economic status.

Module 2 of the HCSA Toolkit indicates a tentative allocation of a minimum of 0.5 ha of land per person as part of a household. However it cannot be stressed enough that this figure is indicative only and that in order to determine future needs more accurately, the current and projected future land and natural resource needs of each community should be estimated on a case by case basis and the actual amount of land that is set aside for future livelihood needs is a matter of choice for the community concerned. Similarly access to areas for hunting, fishing, trapping, and the collection of non-timber forest products (NTFPs) will consider current and projected future usage patterns and will be in line with stated community wishes.

This topic may require extensive time and may not be realistic to cover all aspects during the assessment period. Therefore, it is important to raise these issues in the recommendations to the Organisation.

08 Environmental section: methods and results



08.1 Environmental methods

Describe environmental methods used in the assessment, with a focus on literature review, use of secondary data (see manual section 2.3.2) and fieldwork carried out by the assessment team. **Choice of methods and sample size must be justified.** Maps showing sampling points or sites of field studies must be overlaid on the land cover classification map.



Methods must be presented for all studies conducted during the assessment, for example: the following types of studies e.g.:

- Soil studies (ideally conducted separately and before the HCV-HCSA assessment)
- Hydrological studies
- Forest plot inventories*
- Floral/botanical surveys*
- Faunal surveys*
- Aquatic surveys
- Peat studies (ideally conducted separately and before the HCV-HCSA assessment)
- Interviews
- Literature review

Note that some methods are required (*).

08.1.1 Literature review and use of secondary data

Provide a description of the methods used in desk-based information gathering activities. All literature and secondary data must be listed in the reference section. Aim to use recent data. If you use older data (e.g. older than three years old), then explain how the situation might have changed or why that information is still valid/useful. The objective is to show that you have used the best available information and have explained the limitations of available information.

08.1.2 Environmental fieldwork

Describe and justify field methods. Describe how land cover classification (map) was used to help determine survey designs, sampling, sites for field work, etc.

Forest plot inventories* including:

- Inventory sample design (size, shape, area, and what measurements have been taken, number of plots per land cover class) and plot rationale (if it differs from the HCSA Toolkit)
- Map indicating plots
- Methodology used for forest sampling
- Methodology used for carbon calculations (allometric equations, source of wood density estimates)
- Statistical tests applied



08.2 Environmental HCV and HCS forest results

Overview text can be added here

08.2.1 Summary of interviews and discussions

Stakeholder consultation is an important step towards the end of the assessment (see section 11). However, throughout the assessment, there should be interaction with various stakeholders (e.g. affected communities, hunters, fishers, farmers, village authorities) and experts (environmental NGOs). In this section, describe the results of these interactions. Include the type of interaction (e.g. group meeting, individual meeting, email, letters, phone calls) in which interactions took place. Add more lines as necessary to the table. Include detailed records of interviews and discussions in annex.

Expert/Organisation/ social group	Name/title/role – as relevant	Type of interaction	Concerns and/or recommendations?

08.2.2 Environmental fieldwork results

As relevant, insert results of environmental fieldwork conducted during the assessment. For example, faunal study results. The HCS forest inventory results are presented in 8.2.3.



08.2.3 HCS forest classification and carbon assessment

Note: This section is based on the final land cover classification as described in Section 6.6.

(a) Description of stratum (technical description and photographs)

(b) Area estimates for vegetation stratification

Table of total hectares per vegetation class

Land cover class	Number of Hectares	% of total management unit
Potential HCS classes		
High Density Forest		
Medium Density Forest		
Low Density Forest		
Young Regenerating Forest		
Sub-total		
Non-HCS classes		
Scrub		
Open Land		
Mines, smallholder agriculture, plantation, etc.		
Sub-total		
Total		

(c) Vegetation stratification maps

Presentation of maps and discussion.

(d) Carbon stock estimates for vegetation stratification

Table of total hectares per vegetation class

Land cover class	Area	Number of Plots	Average Carbon Stocks	Standard error of the mean	Confidence limits (90%)		Total Carbon Stocks
					Lower	Upper	
	(ha)				tC/ha		
Potential HCS classes							
High Density Forest							
Medium Density Forest							
Low Density Forest							
Young Regenerating Forest							
Non-HCS classes							
Scrub							
Open Land							
Mines, smallholder agriculture, plantation, etc.							

(e) Statistical analysis of carbon stock inventory

See example below. For statistical analysis purposes, there is a two-step process:

1. You first conduct an ANOVA test. This will identify if there are any significant differences between the strata (there should be or there is no reason to stratify them). See example table:

ANOVA						
Source	SS	df	MS	F	F_90% CL	Signif Diff
Model	71,534	2	35,767	58	2.33	Yes
Error	114,052	184	620			
Total	185,586	186				

2. Then you conduct a Scheffe test which will tell you if there are any significant differences between each stratum. This example has forest, YRF and scrub stratum. There are significant differences between all three strata. This means the biomass/carbon stocks of stratum that have been mapped in the field, are significantly different (as they should be). Example table:

Scheffe Analysis			
Variables	N	SS	Avg
FOR	20	28,822	77.6
YRF	127	83,101	44.2
SCR	40	2,129	8.0
		SSE	114,052
		MSE	620
		p	0.10
		k	3
		N	187
		F(p, k-1, N-k)	2.33
Pair Wise Differences Between Sample Means			
Type	FOR	YRF	SCR
FOR		33.4	69.9
YRF			36.2
SCR			
Scheffe Comparison Values			
Type	FOR	YRF	SCR
FOR		12.9	14.7
YRF			9.7
SCR			
Significant Differences			
Type	FOR	YRF	SCR
FOR		Yes	Yes
YRF			Yes
SCR			

Other useful analyses may include e.g. biodiversity indices per land cover class.

Table: Forest inventory class

Land cover class	Average carbon value	Physical description of the land cover, e.g. species mix, forest type (pioneer, regenerating, primary etc.), diameter distribution, structural indices, maturity indices, etc.
High Density Forest		
Medium Density Forest		
Low Density Forest		
Young Regenerating Forest		
Scrub		
Open Land		



More detailed tables with basal area, canopy cover, ground cover, stems/ha, % pioneer stems, etc. are to be placed in an annex.

Insert: map of land cover classes



08.2.4HCV 1: Concentrations of biodiversity

Considering all elements of the HCV 1 definition, provide a clear decision on presence, potential presence or absence of HCV 1, supported by evidence (i.e. literature review, fieldwork, consultation). It is insufficient to declare “potential presence” of an HCV without providing an evaluation of the likelihood of presence and the limitations of current knowledge. If a value is deemed potentially present, the precautionary approach should be used, otherwise a detailed outline of what needs to be done to confidently identify the HCV is required.

Include a summary table of all HCV 1 species (present and potentially present).

HCV 1	Finding
Concentrations of biological diversity including endemic species and rare, threatened or endangered species that are significant at global, regional or national levels	Insert: Present, Potentially Present, Absent



Insert HCV 1 Map

Map(s) must show HCV 1 for the entire AOI (assessment site and wider landscape), where the HCV extends into the wider landscape. Draft maps must be clearly labelled.



08.2.5 HCV 2: Large landscapes

Considering all elements of the HCV 2 definition, provide a clear decision on presence, potential presence or absence of HCV 2, supported by evidence (i.e. literature review, fieldwork, consultation). It is insufficient to declare “potential presence” of an HCV without providing an evaluation of the likelihood of presence and the limitations of current knowledge. If a value is deemed potentially present, the precautionary approach should be used, otherwise a detailed outline of what needs to be done to identify the HCV for certain is required.

HCV 2	Finding
Large landscape-level ecosystems, ecosystem mosaics and Intact Forest Landscapes that are significant at global, regional or national levels.	Insert: Present, Potentially Present, Absent



Insert HCV 2 Map

Map(s) must show HCV 2 for the entire AOI (assessment site and wider landscape). It must be clear if and where the HCV extends into the wider landscape or where the AOI may provide buffering or connectivity for HCVs present in the region. Draft maps must be clearly labelled.



08.2.6 HCV 3: Rare ecosystems

Considering all elements of the HCV 3 definition, provide a clear decision on presence, potential presence or absence of HCV 3, supported by evidence (i.e. literature review, fieldwork, consultation). It is insufficient to declare “potential presence” of an HCV without providing an evaluation of the likelihood of presence and the limitations of current knowledge. If a value is deemed potentially present, the precautionary approach should be used, otherwise a detailed outline of what needs to be done to identify the HCV for certain is required.

HCV 3	Finding
Rare, threatened, or endangered ecosystems, habitats or refugia.	Insert: Present, Potentially Present, Absent



Insert HCV 3 Map

Map(s) must show HCV 3 for the entire AOI (assessment site and wider landscape), where the HCV extends into the wider landscape. Draft maps must be clearly labelled.



08.2.7 Peat

Refer to HCSA Toolkit Module 4: Either (a) Define and delineate peat swamp forest or (b) Define and delineate undeveloped peat regardless of forest status.



The report must state if peat is present and include a summary table (such as the example below), to show the area of each soil type per HCSA landcover class.

The source of the peat map must be shown and accuracy if known. Justify use of peat map (the best available peat maps must be used). Insert peat map here.

Landcover class category	Area of mineral soil	Area of peat soil

09 Patch analysis



09.1 Description of the patch analysis

For the steps of the Decision Tree, provide a brief description (full table to be placed in annex) of how you conducted each of the 13 steps below. **Show a map for each step.**

Include justification as to why some patches have an 'indicative' status.



Step 1: Overlay HCS forest classes with other layers

Show map of potential HCS forest areas with the following layers:

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

Step 2: Evidence that connected HCS patches were merged.

Step 3: Evidence of core area analysis and prioritisation

Step 4 & 5: Evidence of connectivity analysis completed correctly.

Steps 6 & 7: Evidence of risk assessments and separation of MPP and LPP

Step 8: Evidence of High Risk MPP analysis for presence of LDF, MDF and HDF.

Step 9 & 10: Pre-RBA and RBA check where necessary

Step 11: Merge of indicative conserve HCS patched with HCV 1-4, peatland, etc.

Step 12: Evidence of analysis of landscape linkage and corridor analysis

Step 13: Evidence of any Give and Take process and maps of the proposed conservation areas, community land use areas and development areas.

Insert: Final land cover map with HCS forest patches

09.2 Discussion and comments on the HCSA Decision Tree outcome

Briefly explain limitations or any step that was modified and for what reason.

10 Management and monitoring recommendations



This section must explain the conditions necessary for value maintenance or enhancement of the values identified during the assessment. The whole of section 10 is a key issue.

10.1 Threat assessment

A threat assessment is a required part of this section. Describe how you conducted the threat assessment. Identify and describe the current and potential threats to all values identified (e.g. HCS forest patches, HCVs, local peoples’ future lands and peatlands). Refer to the Common Guidance for Management and Monitoring of HCVs Section 2.1 (D).



10.2 Recommendations for each value

Show map(s) of HCV management areas and HCS forest patches. Describe how the management areas were designed to address threats and maintain values. The patch analysis section already describes the rationale for HCS forest patches. Maps must show the extent of the management areas inside the assessment site only (e.g. where the organisation commissioning the assessment has rights and responsibilities to maintain the values and HCS forests found).

This section can be organised as follows for each value identified:

E.g. HCV 1: Tree species X

- Brief summary of the value and where it occurs
- Threats to the value
- Management prescriptions, management activities, design of management areas
- Monitoring recommendations

Value identified	Threats	Management areas and prescriptions	Monitoring recommendations
HCS forest			
HCV 1			
HCV 2			
HCV 3			
HCV 4			
HCV 5			
HCV 6			
Peat			

10.3 Cross-cutting recommendations

Summarize cross-cutting recommendations (i.e. how management recommendations can address multiple threats and/or support maintenance of values). Include a brief discussion on how HCVs that extend into the wider landscape could be maintained; e.g. identify the stakeholders with rights over those HCV areas.



10.4 Summary map

Insert: Summary map showing all values identified and all management areas with boundaries and wider landscape.

The summary table below is indicative. In the first column the assessor must list the specific value found (e.g. animal species, type of rare ecosystem) – with a different row added for each value.

Table: Summary of identified values

Environmental and social values to be conserved	Area (ha) where the value is found (inside MU only)	Management areas (ha) (inside MU only)
HCS forest		
Peat		
HCV 1		
HCV 2		
HCV 3		
HCV 4		
HCV 5		
HCV 6		
Local peoples' lands (if any additional to HCV 5&6). May be indicative.		
Net Total (after subtracting overlaps):		

11 Final consultation



Provide a summary of the consultations held after all the assessment findings were synthesized and management recommendations drafted (see tables below). The “final” consultation is a chance for experts and stakeholders to comment on findings and to raise questions, concerns or recommendations. See manual section 2.7

Include information on who was consulted (e.g. expert, community members, groups) and the type of interaction (e.g. group meeting, individual meeting, email, letters, phone calls) including how (where applicable) inputs were incorporated into the final report. If only a sample of relevant stakeholders were consulted, explain the reasons for this and explain how the Organisation will be advised to follow up on any pending consultation (this must be clearly explained in the management and monitoring recommendations and next steps section).

Detailed documentation of all consultations must be presented as an annex.

Should we prescribe what kind of table must be completed? They could present results per stakeholder group or they could present a list of individuals and a list of groups, there are multiple ways it could be done.

For communities, it is important that consultation includes legitimately appointed spokes-persons (leader, shaman, etc), and that agreement of the HCV 5 and 6 and community land use areas and consent to engage in the development project are documented. If a community does not give consent, the affected areas (where consent is not granted) should be shown on a map.

Summary of consultations

Group consultations

Name of group	Title / role of spokesperson	Organisation / social group	Place & Date	
T	T	T	T	T
<p>Describe how consultation took place (i.e. group meeting, phone call, individual interview)</p> <p>Key concerns & recommendations</p> <p>Assessment team response</p>				

Individual consultations

Name of group	Title / role of spokesperson	Organisation / social group		
T	T	T	T	T
<p>Describe how consultation took place (i.e. group meeting, phone call, individual interview)</p> <p>Key concerns & recommendations</p> <p>Assessment team response</p> 				

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12 Next steps

List any outstanding activities which need to be completed, including what needs to be done to finalise draft maps and leading into the elaboration of the ICLUP, such as further field checking of boundaries, gaining consent, collaboration and agreement.

Comment on:

- Immediate needs or immediate activities to be conducted
- Status of maps
- Status of FPIC. E.g. summarize again any areas where FPIC was not granted for the assessment.
- Status of progress on local people's future farming land needs
- Status of outstanding potential 'Give and Take' (Step 13 of the Patch Analysis) that could implicate community lands
- Any high-risk issues or unresolved issues that need to be addressed in the short term

Include specific wording on what needs to be done for draft maps to become final and for any potential HCV designations to have more certainty.

References

Annexes

Required annexes

- CVs of assessment team members (include relevant details on specialties (e.g. bird, mammal, plant taxonomy where applicable) and experience. Limit CVs to two pages each.
- Community engagement throughout the assessment. Details of meetings held (including dates, persons and their role, topics/finding), participatory mapping activities, participation in field data collection.
- Land cover classification: Accuracy assessment (provide error matrix for training samples and test pixels)
 - Indicative photos of each vegetation class. Five images (N, S, E, W, and canopy views) per class.
 - Statistical analysis (allometric used, confidence tests, justification)
- Patch Analysis: Patch list and description. Complete the following table. Each patch must be numbered, and the patch number must be included in shape file data.

Patch number	Total area (ha)	Of which core (ha)	Priority (Low-LP, Medium-MP, High-HP)	Description of Decision Tree results
				e.g. 'indicative conserve because HP', 'indicative develop because LP in High Forest Landscape')

- Final stakeholder consultation evidence: List of meetings, evidence of participation in meetings, list of people interviewed. Other relevant documents (e.g. correspondence from community, statements from stakeholders etc.).

Other annexes

- Detailed methodologies (including the coordinates of the survey effort) and research techniques (e.g. to include questionnaires used for the social assessment).
- Complete lists of species that includes potentially present species from the literature reviews, soil analyses, hydrology data or other technical information (as applicable).