HCSA
HIGH CARBON STOCK APPROACH

HCS-HCV SIMPLIFIED SMALLHOLDER APPROACH TOOLKIT FOR INDONESIA

Requirements and practical guidance for smallholder groups

AUTHORS

Tirza Pandelaki[1] Daneetha Muniandy,[2] Sheun Su Sin,[2] Grant Rosoman,[3] Aida Greenbury,[1] Happy Tarumadevyanto,[1] Joern Struwe,[2] Tommy Pratama,[4] Tony Hill,[5] Patrick Anderson,[6] Olivia Scholtz,[7] Kuan Chun Lee,[8] Ninil Jannah,[9] Jonathan Maerker,[10] Mansuetus Alsy Hanu,[1] and Langlang Tata Buana[5].

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1 Serikat Petani Kelapa Sawit (SPKS) – the Indonesian Oil Palm Smallholder Union.
2 HCSA Secretariat
3 Greenpeace
4 Traction Energy Asia
5 Proforest
6 Forest Peoples Programme
7 High Conservation Value Network
8 Procter and Gamble
9 Ekologika
10 Earthworm Foundation

NOTE ON THE IMPLEMENTATION OF THE TOOLKIT

The toolkit was developed and tested in the Indonesian context and for smallholder farmers that produce palm oil in mixed production landscapes, i.e. in combination with other commodities including rubber, agroforestry systems, home gardens, and that manage forest areas as part of shifting cultivation regimes or as customary forests. The toolkit has not been tested for pulpwood plantations; thus, its current applicability scope is confined to palm oil and rubber smallholders. The toolkit should only be used in Indonesia where village or community land use decisions are still the dominant form of land / resource governance.

The toolkit includes references that are specific to the Indonesian context, however, its underlying principles, concepts, and participatory approaches as well as assessment methods will to a large degree be applicable also to other commodities and regions.

It is hoped that the HCS-HCV Simplified Smallholder Approach Toolkit will be adopted as a new module of the HCSA toolkit and is a step towards the development of global, cross commodity requirements and practical guidance for smallholders. The toolkit may be reviewed in regular intervals to incorporate feedback and lessons learned, including developing a digitised version.

The toolkit incorporates the assumption that its implementation needs to be supported by other parties such as local government, HCSA supporters, local NGOs, or technical experts, because smallholder groups may not have the capacity and resources to implement the toolkit on their own. Incentives and benefits (I&B) are crucial in encouraging uptake of the toolkit and smallholders will need I&B support if they are to protect their forests and High Conservation Values in the long-term.

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ACRONYMS

AOI	Area of Interest
DBH	Diameter at Breast Height
DEM	Digital Elevation Model
FPIC	Free, Prior and Informed Consent
HCSA	High Carbon Stock Approach
HCV	High Conservation Value
HCVN	High Conservation Value Network
ICA	Important Community Areas
IFL	Intact Forest Landscape
NGO	Non-government Organisation
RSPO	Roundtable on Sustainable Palm Oil
SHWG	Smallholder Working Group
SPKS	Serikat Petani Kelapa Sawit / Indonesian Oil Palm Farmers' Union

PART 1
INTRODUCTION TO THE SIMPLIFIED TOOLKIT

OBJECTIVES

Main objectives of the simplified toolkit

- To provide requirements and practical guidance for smallholder groups to implement the toolkit in their administrative areas.
- To provide requirements and practical guidance for smallholder groups to ensure fair and equitable inclusion of rights holders and relevant stakeholders in decision making processes as part of the implementation of the toolkit based on the principle of free, prior, and informed consent (FPIC).
- To provide requirements for field verification of maps to determine land cover, land use and conservation areas, including for support organisations or individuals.

The overall aim of the toolkit is to provide requirements and practical guidance for smallholder groups to identify and manage forests and other conservation values in their administrative areas. It is designed to provide simple, clear steps to formulate and implement an initial plan to manage these forests and other conservation values sustainably.

The High Carbon Stock (HCS) Approach, and the High Conservation Value (HCV) Approach, are the concepts used for defining natural forests and the conservation values that will be protected. are the concepts used for defining natural forests and the conservation values that will be protected. HCS forests are natural forests that should not be cleared for new plantations or be degraded. The HCV Approach is a methodology to identify, manage, and monitor important environmental and social values in production landscapes – across any ecosystem or habitat type. There are six categories of HCVs[11], covering both environmental values (e.g. animals, plants, rivers, streams) and social values (e.g. NTFPs, sacred sites, etc.). This guidance works through steps for identifying HCS forest, and the HCVs found both in and outside of HCS forest, and then how to develop management & monitoring plans for their protection.

By conserving forests and not turning them into plantation areas, the carbon stock remains stored in the ecosystem[12] and the ecosystem itself is conserved. Moreover, the social and economic significance of forests and other areas needed to fulfil basic community needs is recognized and can be maintained or improved over time. Identifying and conserving forests with smallholders and local communities is carried out via a participatory and rights-based approach.

Smallholder groups can address key risks that occur not only in large-scale but also in small-scale plantation developments. These include:

- deforestation
- damage to important biodiversity values that depend on the health of forest and other ecosystems
- damage to basic needs of local communities that depend on the health and accessibility of forest and other ecosystems and the services that they provide, e.g. water regulation, food, fibre, medicine, or important spiritual or cultural values

11 https://www.hcvnetwork.org/library/hcv-definitions
12 Carbon is stored in 5 different parts in the ecosystem: 1) Above-ground biomass, 2) Below-ground biomass, 3) Leaf litter and twigs, 4) Dead wood, and 5) Soil (CIFOR, 2017).

Application of the toolkit also helps to mitigate national greenhouse gas emissions by conserving forests and other ecosystems, e.g. peatlands. This is important as the land use sector in Indonesia is the highest contributor to national greenhouse gas emissions resulting from land-use change, fire, and new land opening for plantations. The Nationally Determined Contribution (NDC) of the Republic of Indonesia, states for example that carbon emissions from the forestry and agriculture sectors are the largest sources of national emissions - 757.5 MTon CO2e –including forest and land fires[13].

When identifying and protecting forests, and the High Conservation Values that are found in them, such as, animals, plants, food, rivers, streams, sacred sites, it is with the aim of how they can be maintained or improved over time. Additionally, High Conservation Values outside of forests, for example, peatlands, wetlands, rivers, streams, can be identified and maintained within an agreed ICLUP (Integrated Conservation and Land Use Plan) of the smallholder group.

13 First Nationally Determined Contribution Republic of Indonesia, November 2016

DEFINITION OF SMALLHOLDER GROUPS

This toolkit is primarily intended for **independent smallholder groups** (hereafter referred to as 'smallholder group') in Indonesia, who want to apply the toolkit in their administrative areas. Ideally, the unit of analysis that forms the basis for implementation is the administrative village area, but additional areas under community control may also be included (see chapter 1.3 for details).

Note: For scheme smallholder groups, plantation companies or processing plants should implement the full High Carbon Stock Approach. However, the toolkit may be **applicable for scheme smallholder groups to aid them in participatory and field processes for the identification of HCS forest and HCVs and land use planning at a landscape level, especially if the scheme smallholder group is not supported by producer partners in the implementation of the toolkit.**

Independent smallholder group: Independent smallholder group is defined as a group of farmers who own land or have long term lease or sharecropping arrangements to a certain maximum farm holding size[14], live in villages, use the farm as their main income, are free to manage their land and its production, and the farm is based primarily on their own family labour and capital. The term 'smallholder group' includes small-forest producers, local and traditional communities, and Indigenous peoples.

Scheme smallholder group: Scheme smallholder group is defined as a group of farmers who are structurally bound by contract, by a credit agreement or by planning to supply a particular mill or processing facility, thus do not qualify as independent smallholders.

Scheme smallholders[15] are related by structure and fund to estates or oil palm factories as the scheme managers. Scheme smallholders do not have the right to choose which commodity to grow, and the planting material, technology, and management to be applied as well as institution are directed by the supervising estates or factories (RSPO, 2010)

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14 The HCSA Code of Conduct's defines the maximum farm holding size of an independent oil palm smallholder in Indonesia to be 10 hectares. https://highcarbonstock.org/wp-content/uploads/2023/01/HCSA-Membership-Requirements-Code-of-Conduct.pdf.pagespeed.ce.X2AurSl6vH.pdf. For community pulpwood plantations they may be a maximum of 15 ha according to the Ministry of Forestry Regulation 23/2007 (source: https://www.cifor.org/publications/pdf_files/articles/AObidzinski1001.pdf Page 341)

15 National Interpretation RSPO Principles & Criteria for Sustainable Palm Oil Production, https://www.rspo.org/library/lib_files/ preview/519 (last accessed 26 June 2022)

HOW CAN SMALLHOLDER GROUPS BENEFIT FROM THE APPLICATION OF THE TOOLKIT?

Climate change is a real threat that will impact smallholders. Impacts could include extreme storm events, heat waves, droughts, and floods. The application of the toolkit, which includes the conservation and management of forests, may help to prevent or mitigate these threats at local and landscape levels.

In addition, smallholder groups may benefit from the maintenance of ecosystem services as they are linked to the existence of healthy forests and ecosystems. These may include water regulation, biodiversity for food, fibre or medicine, carbon storage, and other services. Land use is likely going to be more productive, and in combination with good agricultural practices, commodity production may be intensified and diversified. There is increasing demand in the international market for deforestation-free commodities, and there is a growing literature that shows premiums or preferential access for sustainably grown and/or certified agricultural commodities. Through the application of the toolkit, smallholder groups can organise themselves and increase their access to these markets, including through certification. Smallholder groups can produce their commodities, 'deforestation-free', while receiving agreed-upon incentives or benefits from public or private sectors.

A core component of the implementation of HCS forest/HCVs protection with smallholders and local communities are incentives and benefits. Without these, it is difficult to achieve conservation and protection, as the responsibility for protection does not just lie with the local communities but with external stakeholders including supply chain partners and consumers. Following trials by SPKS and HCSA as part of the Toolkit development, an incentives and benefits mechanism[16] has been established as an example of the additional support needed for smallholders.

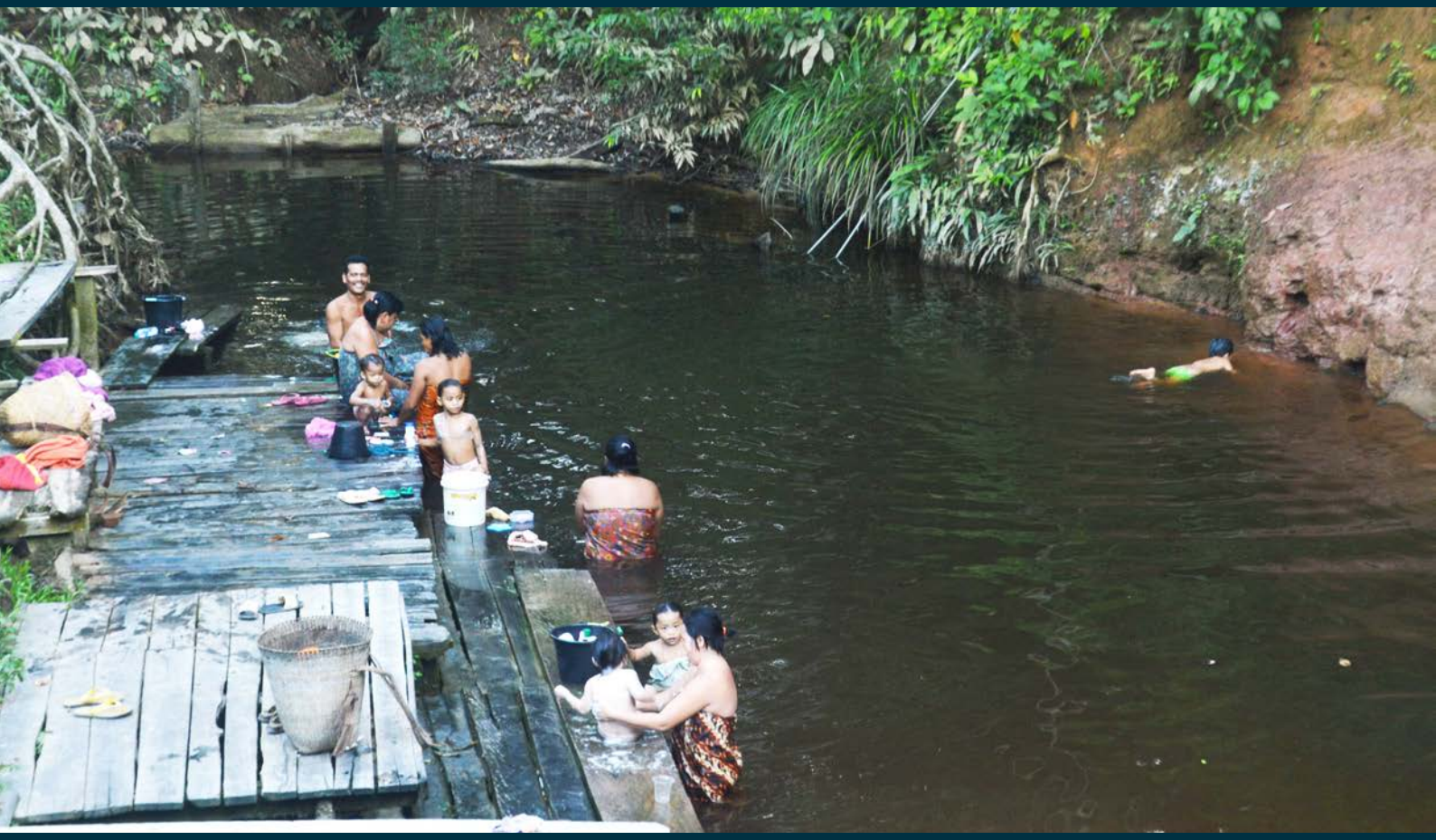


Figure 1: Basic community need; villagers in West Kalimantan using river for washing, cleaning, and recreation

16 https://farmers4forest.org/

PART 2
IMPLEMENTATION OF THE SIMPLIFIED TOOLKIT

OVERVIEW OF THE IMPLEMENTATION STAGES

The toolkit consists of six implementation stages (see Figure 2). Each implementation stage is explained in a separate chapter. Additionally, practical guidance is provided for each of the six implementation stages.

All implementation stages are also 'translated' into an **implementation checklist** that must be filled in during the implementation of the toolkit. The checklist can be found in the supporting document:

Simplified Toolkit for Indonesia – Templates and checklists for implementation / Implementation checklist (Template 1) – Page 48

The flow of the implementation stages is a recommendation and can be adapted for the local context. For instance, if the smallholder group and other stakeholders agree, stages 1 and 2 or stages 3 and 4 can be carried out simultaneously. However, it must be ensured that the quality of the outputs is not compromised.

However, each implementation stage must be completed based on consensus of all members within the smallholder group and community representatives. For example, even if stages 3 and 4 are carried out together, two separate consensus-based decision points (one for stage 3 and one for stage 4) must be obtained and evidence for each decision point provided.

The Decision Tree 1 below summarises the flow of the toolkit implementation process and the decision points along the way towards an Integrated Conservation and Land Use Plan (ICLUP) and management and monitoring.

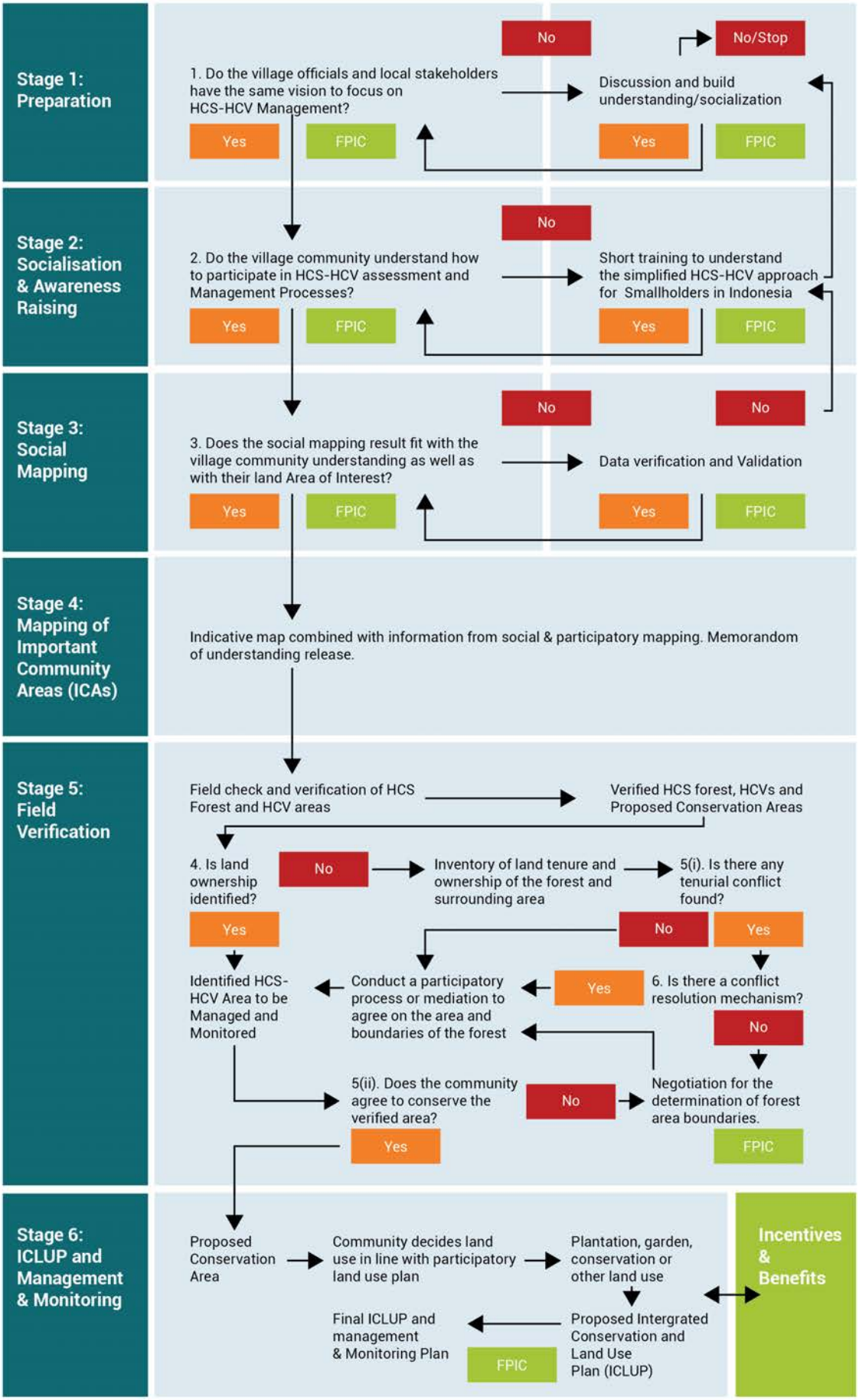


Figure 2: Decision Tree 1 – Summary of the toolkit implementation process

STAGE 1: PREPARATION

Method:

- Group coordination meetings, village meetings, one-on-one meetings, etc, are held (usually several times)
- Minutes taken for meetings and shared with participants

Objectives:

- Ensure participating smallholder farmers are part of a smallholder group and group members agree to implement the Simplified Toolkit. A leader is appointed for the group and rules for group members are communicated.
- Obtain approval from village officials and relevant stakeholders to implement the Simplified Toolkit.
- Identify and appoint a support team (if necessary) and ensure agreement with the smallholder group.
- Define Area of Interest (AOI)

Materials / Documents:

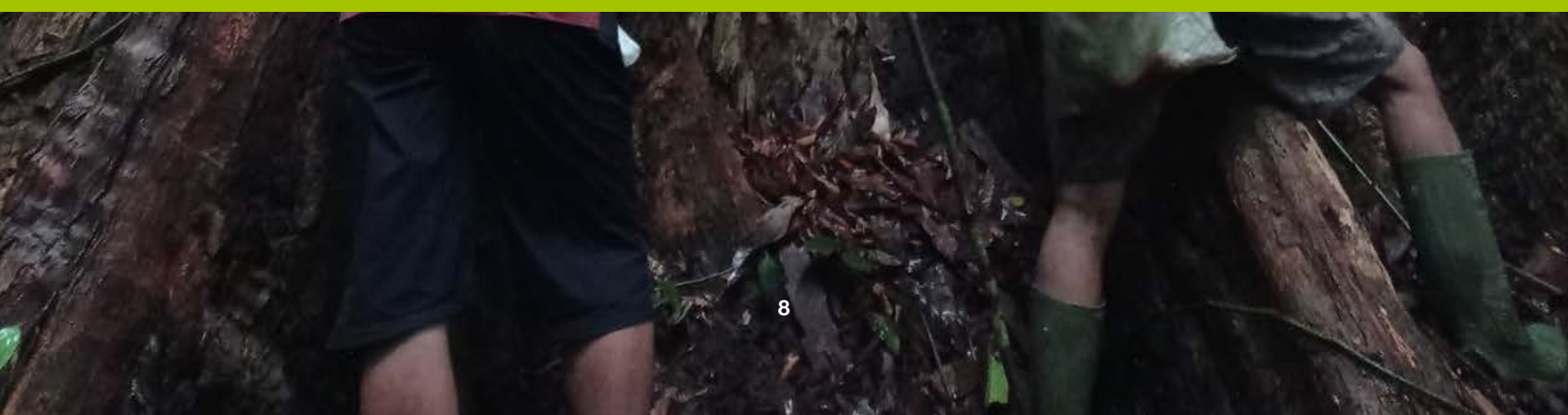
- Socialisation materials
- Simplified Toolkit including checklist
- Maps (e.g. village administrative boundaries, concession maps under licence, land cover maps, indicative HCS/HCV maps)
- Supporting information

Expected Output:

- Formation and description of the smallholder group (ideally this can be done in writing, including a description of the structure and functioning of the group)
- Working map: indicative map overlaid with other maps and information such as boundaries, licensed concession maps, land cover maps, and HCS-HCV threshold.
- Team composition (local representative, technical experts, facilitators, etc)
- Timeline of activities approved by the village/community/cooperative
- Minutes of meetings (the minutes must document discussion points and whether decisions were taken with consent of all participants, or were postponed)

Estimated Time:

10 - 14 days (it is important to allow sufficient time to plan and facilitate initial agreement with relevant stakeholders)



1.1 WORK WITH OR HELP ESTABLISH A SMALLHOLDER GROUP & AGREE TO IMPLEMENT THE TOOLKIT

The Simplified Toolkit can be implemented by smallholders who are members of an organisation for example, a cooperative or farmer group (*Poktan*), association of farmer groups (*Gapoktan*) - or it can be implemented at the village level (more than one village could be involved). This smallholder group must have an appointed leader, and it must have rules for group members that are communicated to every smallholder that joins the group. All group members must agree to implement the toolkit.

However, many smallholders in Indonesia, especially in the oil palm sector, have yet to join any organisations. Smallholders who are not part of an organisation can join an existing organisation or establish an organisation in their administrative village area.

Also, the smallholder group must gain approval from village officials and community members and groups to implement this toolkit. This is one of the most important objectives of the preparation stage. It is important to have the consent of the village officials and leaders as the successful implementation of this smallholder approach relies entirely on the engagement of all relevant stakeholders.

To gain approval, usually a few group meetings and/or one-on-one meetings are necessary to explain this toolkit and how the smallholder group and the village can both benefit from its application. Best practice is to write meeting minutes and to always share them with participants.

Approval to implement this toolkit must be gained through a process that respects the right of the community to give or withhold its **free, prior, and informed consent (FPIC)**. For the purpose of this toolkit, this means approval must be given by consensus, i.e., without expression of a clear objection by any member of the community. In Indonesia this is the 'Musyawarah Mufakat 'process. Members of the smallholder group or community members may express concerns or criticism, but if these are not as strong as a clear objection, with their agreement, the implementation process may go ahead. Best practice is to document the concerns and criticisms, agree on steps to try to address these issues and to speak about them from time-to-time with the concerned parties.

In cases where the local officials and leaders are not convinced to implement the toolkit, the cause of their disapproval needs to be identified and recorded by the smallholder group and support team (if available). The support organisation may need to evaluate the situation and decide on suitable actions to rectify issues in order to gain consent of the village officials to implement the toolkit.

Also, during Stage 1, information will be gathered on any disputes or conflicts within or between communities and/or land holders in the jurisdiction. In the case of disputes, where the parties have already agreed on a pathway towards resolution, the process should proceed. In the case of conflicts, where there is no way forward agreed between parties, the focus should be on facilitating conflict resolution. The HCS-HCV smallholder approach implementation can proceed if agreed by the parties involved in the conflict or on land where there is no dispute or conflict. Any conflict that cannot be addressed or resolved through the steps and participatory processes in the toolkit will need to be addressed separately through a conflict resolution process outside the toolkit implementation, such as at the village or district governance level

1.2 ROLES AND COMPOSITION OF THE SUPPORT TEAM

It is likely that the smallholder group will need expert support to implement the toolkit. We recommend engaging HCSA supporters for technical support. The HCSA Secretariat is happy to facilitate contact with technical support organisations or other suitable organisations.

Sufficient support, as necessary, may be provided by the technical and local expert support team. It is anticipated that technical support will be needed for capacity building and training, mapping, interpretation of land stratification and use, as well as the development of a village land use plan.

The expert support team may consist of a team of two or more people or may consist of a single person. We recommend filling the roles below to ensure a smooth implementation process:

- **Technical expert(s)**: Preferably local or national experts in mapping and data analysis that have access to necessary software packages, online information, and that can produce digital and hardcopy maps of the AOI. However, appropriate international expertise may be acceptable.

- **Local expert(s)**: Regional or local people that understand the local context., including customary practices, relevant stakeholders, land use dynamics, common production practices, for example, – and who are interested to provide input during the toolkit implementation.
- **Facilitator(s)**: Regional or local people that understand the local context and are able to facilitate meetings, engage with smallholder farmers and relevant stakeholders, and to translate, if possible, from local languages or dialects to Bahasa Indonesia.

Additional team members from the village or surrounding communities may be invited at each implementation stage to ensure proper representation of women and youth. This may become increasingly important prior to field work and/or village consultations. However, **all team members must have consent from the smallholder group and community members and groups** to participate in the toolkit implementation.The role descriptions are recommendations and can be adjusted during toolkit implementation, as suitable, for the specific context.

It is anticipated that over time a 'professional community' or pool of local expert(s), facilitator(s), and field teams can be built up in different landscapes or jurisdictions in Indonesia. Ideally, people that have been trained and have participated in previous toolkit implementations could help other smallholder groups to implement the toolkit. The **training and participation of women, youth, and Indigenous Peoples** during toolkit implementation is strongly encouraged.

Technical Expert(S)	• Identify best possible maps and spatial information for toolkit implementation in the AOI (e.g., HCS indicative map for Indonesia, HCV probability maps, designated forest areas i.e., HL, HPT, HP, HPK, concession maps / permit map, administrational layers, infrastructure, DEM, satellite imagery). • Identify previous studies (HCV or HCS) that have been carried out in landscapes or companies located around the AOI. • Desk study to identify protected areas and conservation areas based on Law no. 5/1990 for the AOI. • Desk study to identify background information for the AOI (e.g., stakeholder information, governance and administration, socio-economic context, village administrative area). • Desk study to prepare thematic maps for the AOI that can be used for implementation stages 1 – 6. • Capacity building and training of team members. • Compile the socialisation material on Focal Species (to be used in Stages 2, 4 and 5).
Local Expert(S)	• Explain local context in the AOI (e.g., local community dynamics, local stakeholders, quality of relations between local stakeholders, common production practices, land use history, development plans, land rights, existing tensions, sensitive topics). • Explain customary practices related to forests and other natural resources. • Engage with smallholder farmers, community members and groups and relevant stakeholders on specific topics to identify information or gain clarity. • Translate from local languages or dialects to Bahasa Indonesia. • Ideally, local expert(s) are from local NGOs, the village, or surrounding communities.
Facilitator(s)	• Engage with smallholder farmers and relevant stakeholders to acquire feedback and consent. • Facilitate meetings and village consultations. • Translate from local languages or dialects to Bahasa Indonesia. • Ideally, facilitator(s) are from local NGOs, the village, or surrounding communities
Field Team	• Support field data collection

Table 1: Possible role descriptions for team members

1.3 DEFINE THE AREA OF INTEREST (AOI)

The smallholder group must define an Area of Interest (AOI) for which the toolkit can be implemented. The AOI must be large enough to **enable the development of a meaningful Integrated Conservation and Land Use Plan (ICLUP)** that contains areas for conservation, Important Community Areas (ICAs), and areas for development. However, the AOI should not be too large and should not include areas that are far beyond the control or influence of the smallholder group.

At minimum, the AOI must include the **village administrative area and the wider landscape**. A buffer zone must be included to allow for identification of nearby forests or protected areas that may be utilised or impacted by villagers or the smallholder group. Also, the buffer zone must be included to minimise boundary or edge effects.

It is difficult to set a threshold for the extent of the buffer zone. We recommend a pragmatic approach based on an estimation of the average travel distance of villagers and smallholder group members. As a default, a **wider landscape of 5 km around the village administrative** area may be used. We are aware of varying local contexts, however, and smallholder groups may adjust this value.

Note: Field verification must be done for the village administrative area but is optional for the wider landscape.

What can you do when the village administrative area and actual area claimed as their customary lands are different?

In practice, the village administrative area may deviate from the area that is claimed by the community as their customary lands. The area may be smaller, larger, or in some cases may even extend over more than a single village administrative area.

In these cases, all relevant administrative areas and buffer zones should be mapped, but the actual area that is claimed may be delineated during implementation stage 3 (social mapping) and implementation stage 4 (mapping Important Community Areas).

Field verification must be done for both areas.

STAGE 2: SOCIALISATION & AWARENESS RAISING

Method:

- Capacity building and training of expert support team (e.g. 1 – 2 initial trainings, depending on the level of understanding and number of participants)
- Group coordination meetings, village meetings, one-on-one meetings, etc. (meetings are held until consensus is reached)
- Minutes taken from meetings and shared with participants

Objectives:

- Ensure the expert support team understands the toolkit and how they can support the implementation process
- Identify all smallholders, community members and groups, and relevant stakeholders – e.g. heads of households, women, youth, Indigenous peoples - and understand how village decision-making processes work
- Consult smallholders, community members, groups and their representatives and gain their consent for an expert support team and for implementation of the toolkit

Materials / Documents:

- Socialisation Materials
- Simplified Toolkit including checklist
- Maps (e.g. village administrative boundaries, concession maps under licence, land cover maps, indicative HCS/HCV maps)
- Supporting information

Expected Output:

- The expert support team understands the toolkit and understands how to support its implementation
- All smallholders, community members and groups are consulted and have given their consent to implement the toolkit
- Minutes of meetings (must document discussion points and whether decisions were made with consent from all participants or if they were postponed)

2.1 TRAIN THE EXPERT SUPPORT TEAM

The technical and local experts (see chapter 1.2) that lead the support team must have experience with working at the village level and with smallholders, as well as with the full HCSA or with the toolkit. The HCSA Secretariat can be contacted to provide or recommend technical experts.

Technical experts may be needed to train the support team through a comprehensive, up-front training of 1 – 2 days, followed by refresher trainings from time-to-time. They may also train the support team through targeted trainings prior to the start of an implementation stage. Whichever works best for the local context is fine.

The most important thing is that all support team members are aware of their specific tasks and roles in the team. A collaborative atmosphere must be established, so that regional and local team members especially feel empowered to learn and to engage with smallholder farmers, the community, and relevant stakeholders.

2.2 IDENTIFY RELEVANT STAKEHOLDERS AND CUSTOMARY DECISION-MAKING PROCESSES

The smallholder group and the support team must offer options to all community members or groups to provide feedback or to withhold consent, e.g. if they do not agree for certain activities to take place on their lands. To ensure that all community members and groups are consulted and heard during decision- making processes, it is important to:

- Identify all relevant stakeholder groups that are located in the AOI or that might be affected by toolkit activities in the AOI.
- Identify their representatives and how they prefer to be included in decision-making processes.
- Identify customary decision-making processes and explore how to integrate them into (FPIC) decision-making processes that are used during the toolkit implementation.

It is not the role of the smallholder group and the support team to define which community members and groups must be included in decision-making processes and how they should be represented. This is for the community itself to decide. In support of this outcome, and to encourage broad participation of community members, the smallholder group and the support team must always communicate that everyone in the community is welcome to participate and speak in meetings. In case smallholder farmers or villagers mention groups or institutions that might have an opinion on certain topics, these groups and bodies should be invited to participate and speak in meetings.

Secondly, with community agreement, different demographic groups should be represented in decision-making processes. This might include, for example village leaders, village elders, heads of households, women, youth, and indigenous leaders. With community agreement, each of these groups may choose how they want to be represented, e.g. by an elected group of people, by a single person of their choosing, by an NGO or other organisation. Whichever way the community as a whole and the sub groups choose to represent themselves must be respected and supported.

With community agreement, external organisations and stakeholders can be consulted prior to and during decision-making processes for their opinions or interests. This might include, e.g. local government representatives, buyers, plantation companies, NGOs, or village government officials of village owned- enterprises (Badan usaha milik desa - BUMDES).

Thirdly, customary decision-making processes must be identified and evaluated. In the case where they are inclusive to all community members and groups, they may be followed without any improvements. In the case where they do not allow all groups to participate, to speak and to represent themselves, then the smallholder group and its support team can recommend to the community that involvement of all community members and groups will strengthen the **decision-making process**.

We anticipate that the majority of customary decision-making processes such as the Indonesian 'Musyawarah Mufakat' process are going to qualify as FPIC decision-making processes. This section may be updated based on lessons learned from applications of this toolkit.

2.3 VILLAGE CONSULTATION (FIRST CONSULTATION)

It is essential to have the **consent of all smallholder farmers and community representatives to implement this toolkit**. The means to gain consent is through village consultations. The first village consultation must be requested by the smallholder group and organised in collaboration with community institutions. Where a regular village meeting takes place[17], the request by the smallholder group for implementing the toolkit may be added as an agenda item.

It is difficult to define how many participants should attend the first consultation meeting to define a quorum. It is expected that at least **15% of households should be represented at the first consultation meeting** to be confident that constructive feedback, concerns, or objections to certain activities would be picked up. In case there is no objection during the consultation meeting and from the subsequent distribution of meeting minutes, this may be interpreted as consent in the village to go ahead with developing a plan for the toolkit implementation.

In any case, the default threshold of 15% of households must include all groups as described in chapter 2.2. The village consultation may be done in a single meeting, or several meetings, as suitable for the local context. Virtual meetings via mobile phones or other electronic media are eligible as they allow for greater flexibility and help to reduce costs.

One of the decision points during the first village consultation must be **agreement on the members and composition of the support team**. Should there be any reservations or concerns against the team composition or any of its members, then the support team must be changed.

The meeting minutes, including a description of feedback, concerns and decision points, must be documented and shared with all participants upon request.

If the community consultation gives its approval, then the plan for toolkit implementation can be developed by the smallholder group and village members appointed at the first consultation, i.e. the support team. The plan should describe the steps that will be taken, by whom and when, to implement the toolkit. The plan will need to be presented and agreed to in a second community consultation. By agreement of the community at the first consultation, the approval of the implementation plan could be made by a meeting of key village representatives, rather than a village-wide meeting. Once the plan is agreed, then it can be implemented

17 That fulfils FPIC requirements as explained in chapter 2.2

STAGE 3: SOCIAL MAPPING

Method:

- Facilitate group meetings with the smallholder group and community members and groups
- Update thematic maps of the AOI with information from group meetings
- Record minutes from meetings and share with participants

Objectives:

- Understand land use history in the AOI and, where possible, map customary land areas that have been protected for a long time, e.g. traditional agroforestry systems that have been maintained for generations, sacred forest patches, and others
- Understand land use disagreements between actors and, where possible, map these issues and areas
- Understand ICAs, e.g. areas that are used for shifting cultivation or other important resources and, where possible, map these areas
- Understand threats and opportunities for conservation and, where possible, overlay these on the land use map

Materials / Documents:

- Simplified Toolkit including checklists
- Maps of the AOI (digital and hardcopy)
- Supporting information
- Paper, pens, stones, pebbles, leaves or other participatory materials

Expected Output:

- Support team that better understands the land use context in the AOI
- Map (digital and hardcopy) that contains ICAs, customary conservation areas, areas with competing land rights and land use claims, and areas with opportunities for conservation
- Minutes of meetings (must document discussion points and whether decisions were made with consent from all participants or if they were postponed)

3.1 PREPARATION FOR SOCIAL MAPPING

Social mapping is a part of the participatory mapping process. Please see *ANNEX 1 – Glossary of terms* for an explanation of how the term participatory mapping is used in this document.

In preparation for social mapping, relevant thematic maps must be identified and clipped[18] to the AOI. This can be done by combining HCS forest indicative maps, HCV probability or proxy maps, satellite images, administrative layers, and other relevant information layers.

Usually, this step will be carried out by the technical support team, or it might have been completed already by another support organisation. In case there are any questions about which information sources to use, the HCSA Secretariat can be contacted through **info@highcarbonstock.org**. Links to existing indicative HCS maps will be provided by the HCSA Secretariat upon request.

The **AOI thematic maps should be available as digital and hardcopy versions**. Ideally, the hardcopy versions consist of a couple of large prints in poster format, which can be pinned to a wall or can be laid out on the floor. Also, smaller prints should be prepared so that participants can have individual prints in hand during meetings.

Ideally, the AOI thematic maps include:

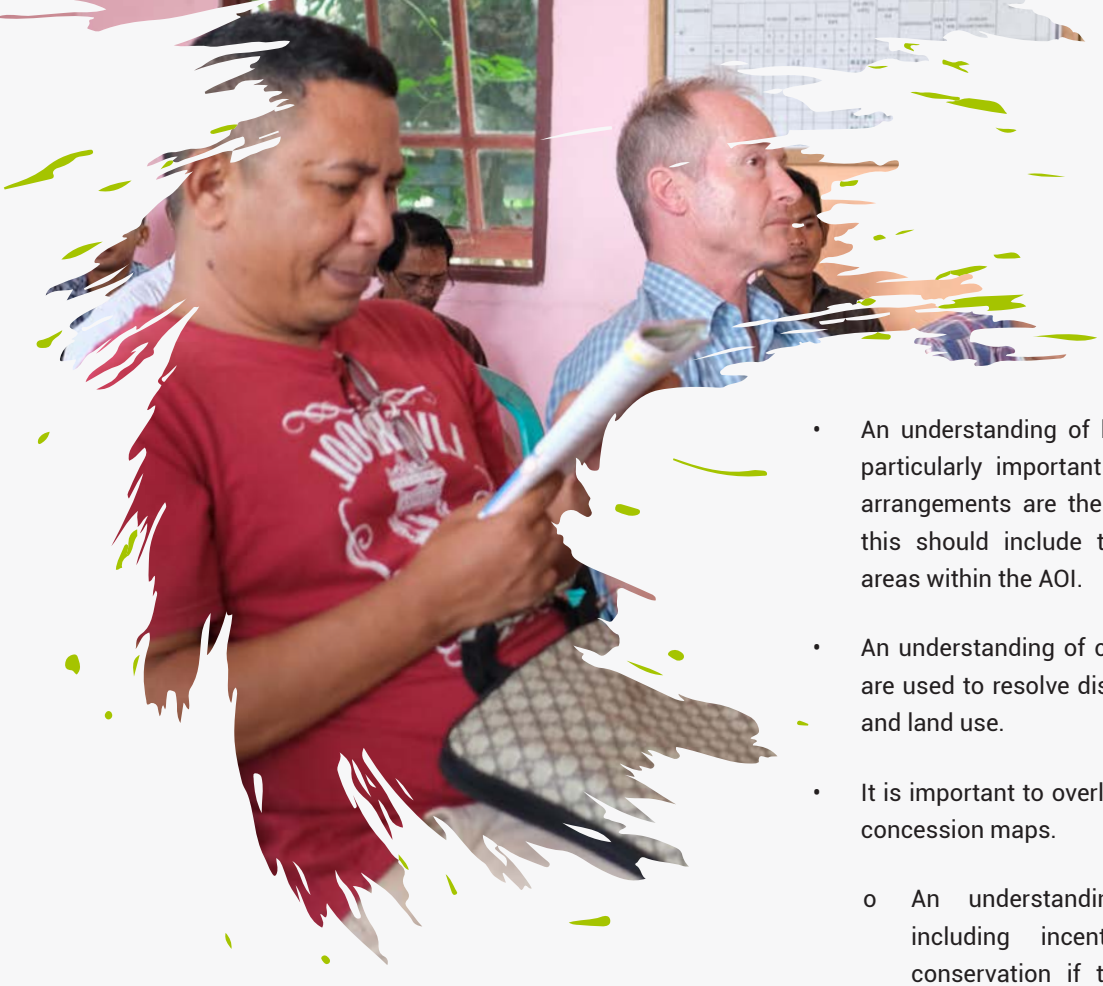
- Simplified HCS vegetation strata – 'good forest', 'bad forest', scrub and open land, and plantation areas (please see *ANNEX 2 – Simplified HCS vegetation* stratification for details),

- HCV probability maps or HCV proxies for the environmental HCV categories. It may be challenging to map all the environmental HCV categories across the AOI, however where mapped data is not available across the AOI, data gaps will be filled during the stage 5 on ground verification.
    - The following mapped data is generally easily accessible as a proxy of HCV 1, 2 and 3: Internationally and nationally defined Protected Areas and their buffer zones, Key Biodiversity Areas, Ramsar sites, IUCN Threatened Ecosystems, Intact Forest Landscapes.
    - Digital elevation models and slope analysis, watershed analysis, and location of surface waters can be used to indicate HCV 4 (local ecosystem services). During social mapping, discussions can be held regarding areas where there are steep slopes and where farming is near water bodies, if mapped data is not available. These areas should then be visited during Stage 5 to confirm potential risks on water bodies that communities depend upon.
    - Land cover maps that may indicate other natural ecosystems apart from natural forests, for instance swamps and wetlands. If such mapped data is not available, local knowledge can be sought on other natural ecosystems in the AOI that would qualify as HCV 3. These should be included into socialisation materials, with stage 5 verification used to confirm presence or not.
- any other supporting information that is helpful for the mapping process.

It is important to motivate villagers and smallholder farmers to participate in the meetings. Ideally, the meetings can be prepared and announced well in advance. Also, the meetings should be scheduled on days and at times that compete as little as possible with other duties or responsibilities. If funds are available, villagers and smallholder farmers may be compensated for their efforts.

In addition, reasonable efforts must be undertaken to include women, youth, ethnic minorities, or indigenous peoples in meetings, as these are **key demographics or stakeholder groups**, and their voices should be heard during the mapping process.

18 Clipping is a common GIS overlay technique. For instance, a layer with vegetation cover can be clipped with a layer that contains boundaries of the AOI. The output is a 'new' layer with vegetation cover in the AOI.



3.2 SOCIAL MAPPING PROCESS

The social mapping process should be organised as a group meeting or as a series of group meetings, depending on the local context. Ideally, the meetings can be organised in a **workshop format** in which participants are briefed, are encouraged to actively update the thematic AOI maps, and to share their experience and knowledge.

All participatory mapping processes - including social mapping – should follow **best practice designs and methods**. If specific participatory mapping processes have been designed for the local context or are commonly used, these may be applied during the social mapping process.

The social mapping process may be done separately or in combination with Stage 4: Mapping of Important Community Areas (ICA), depending on the local context. Annex 4 includes an ICA checklist that can be used as a basis. In comparison with ICA mapping, the social mapping process focuses on:

- An understanding of the local context, land use history, and future development priorities of the community.
- An understanding of local land tenure, which is particularly important if customary land tenure arrangements are the norm. As far as possible, this should include the mapping of contested areas within the AOI.
- An understanding of community institutions that are used to resolve disputes over land ownership and land use.
- It is important to overlay the forest area map and concession maps.
    - An understanding of local livelihoods including incentives and benefits for conservation if they exist, e.g. communal ownership of customary forests.
    - An understanding of the challenges and opportunities of potentially marginalised groups, e.g. women, youth, ethnic minorities, or indigenous communities whose rights and needs might commonly be overlooked.

These focus areas should be translated into easily understood questions that can be asked to group members with the help of facilitators and local experts. The answers can be recorded on the maps and in the meeting minutes.

The main outputs from the social mapping process such as thematic maps, notes, photos, and meeting minutes should be compiled as part of the results. A consensus decision by the group members may confirm if the social mapping process is satisfactory. If consensus cannot be reached, a second meeting should be held to complete the mapping process.

The technical team should digitise the main outputs from the social mapping process and make them available for subsequent implementation stages.

STAGE 4: MAPPING OF IMPORTANT COMMUNITY AREAS (ICA)

Method:

- Facilitated group meetings with the smallholder group and community members and groups
- Update thematic maps of the AOI with information from group meetings
- Minutes taken from meetings and shared with participants

Objectives:

Understand ICAs in the AOI and, where possible, map these areas.

Note 1: If these areas have been mapped already in stage 3, there is no need to repeat the process again in stage 4. Stages 3 and 4 are both participatory mapping processes. Stage 3 focuses more on overall land use and identification of contested areas, while stage 4 focuses more on the identification of areas that fulfil basic needs and livelihoods of villagers.

Note 2: HCV 5 and HCV 6 are captured in ICAs, and some elements of HCV 4 on access to clean water are captured in ICAs.

Materials / Documents:

- Simplified Toolkit including checklist
- Thematic maps of the AOI (digital and hardcopy)
- Meta-plan to help create resource tables, and/or sketches
- Maps that can be marked by the participants to identify ICAs
- Supporting information
- Stationery, stones, pebbles, leaves or other participatory materials.

Expected Output:

- Technical support team better understanding of which areas fulfil basic needs and livelihoods in the AOI.
- Thematic map (digital and hardcopy) that contains ICAs, customary conservation areas, areas with disagreements over land rights and land use, and areas with opportunities for conservation
- Minutes of Meeting (MoM) in line with the FPIC processes, outlining the community/smallholders' agreement on the ICAs, and the identification of the initial plan for the ICLUP, as well as management and monitoring (the minutes must document discussion points and whether decisions were made with consent from all participants or if they were postponed).
- The result will be used to complete the social mapping result, as part of the participatory mapping process to be verified. Better understanding of the ICAs will be achieved in the process, and other issues such as overlapping areas between company concessions and customary forests might be identified.

Frequency:

1-2 times in 1-2 days.

4.1 PREPARATION FOR IMPORTANT COMMUNITY AREA (ICA) MAPPING

ICA mapping is a part of the participatory mapping process. Please see *ANNEX 1 – Glossary of terms* for an explanation of how the term participatory mapping is used in this document.

The preparation is similar to social mapping (see chapter 3.1) with the only addition that the social map or main outputs from the social mapping (see Stage 3: Social mapping) should also be considered as inputs for this mapping process.

4.2 ICA MAPPING PROCESS

The mapping process for Important Community Areas is similar to the social mapping process 3.2). In addition, the social map, or main outputs from the social mapping (Stage 3: Social mapping) should also be considered as inputs for this mapping process.

The ICA mapping process may be done separately or in combination with Stage 3: Social mapping, depending on the local context. In comparison with social mapping, the ICA mapping process focuses on:

- An understanding of the areas that are under the actual control of villagers or the smallholder group, as these areas might deviate from the village administrative area (see chapter 1.3 for details)

An understanding of **important natural resources** that are used by villagers or the smallholder group to fulfil basic needs and to sustain livelihoods. The following potential resources should be considered and discussed:

  - Surface water and other water resources that fulfil basic needs like drinking, cooking, washing, and recreation,
  - water, fibre, food, and medicine,
  - places of worship, burial grounds, places for gatherings, and certain species,
  - forest areas and areas outside of forests that are critical for the livelihoods or safety of villagers, and
  - vegetation in watershed areas, vegetation on steep slopes, and vegetation on cliffs close to settlements.

- An understanding of the areas from which natural resources are harvested or collected and that are essential to sustain natural resources. This can be forest areas but also areas outside of forests including, for example,vegetation along surface water, wetlands, peatlands, or grasslands.

- An understanding of animal and plant species that have importance for the community. The community members may choose which species to include in a list of **Focal Species** that should be managed to ensure their continuous presence. If possible, areas with concentrations of focal species can be mapped but more important is the development of the list itself.

- An understanding of **ICAs**, i.e. forest areas that include woody vegetation, which may appear as forest but are part of shifting cultivation regimes, agroforestry, home gardens, etc.

Location						
List of Important Natural Resources				Current Management / Improvement Required		
Important Nat. Resources	Type	Function	Threat[19]	Activity	KPI	PIC and stakeholders involved
E.g. HCVs, HCS forests, other livelihood sources	E.g. Wood / Non Wood Products	E.g.,honey production	E.g. fires	E.g. Current Village regulation on forest conservation Improvement req: Funding support	E.g. Signs, allowable cut	E.g. Villagers and smallholders

Table 2: Example of information required under Important Natural Resources

19 More details on how threat is identified is described in Page 34 Item 6.2.2 Threat Assessment.

It is also important to identify Important Community Areas during the ICA mapping process. These are areas that may appear as forest or non-forest at the time of the assessment, e.g. on satellite images but are in fact a 'snapshot' of **continuous production regimes**, for example, are part of shifting cultivation regimes, agroforestry, or home gardens. It is essential to identify these areas as a separate vegetation or land use category to avoid biased outcomes of the assessment.

The above focus areas should be translated into simple questions that can be asked of group members with the help of facilitators and local experts. The answers to the questions can be recorded on the maps and in the meeting minutes.

The main outputs from the ICA mapping process, such as thematic maps, notes, photos, and meeting minutes should be compiled as part of the results. A consensus decision by the group members may confirm if the ICA mapping process is satisfactory. In case consensus cannot be reached, a 2nd meeting should be held later to complete the mapping process.

The technical team should digitise the main outputs from the ICA mapping process and make them available for subsequent implementation stages.

4.3 VILLAGE CONSULTATION (SECOND CONSULTATION)

The main outputs from social mapping and ICA mapping processes must be presented to the community and smallholders. This is essential because at this point thematic maps should be advanced enough, so that the community can get an initial idea of the **distribution of potential land use zones.**

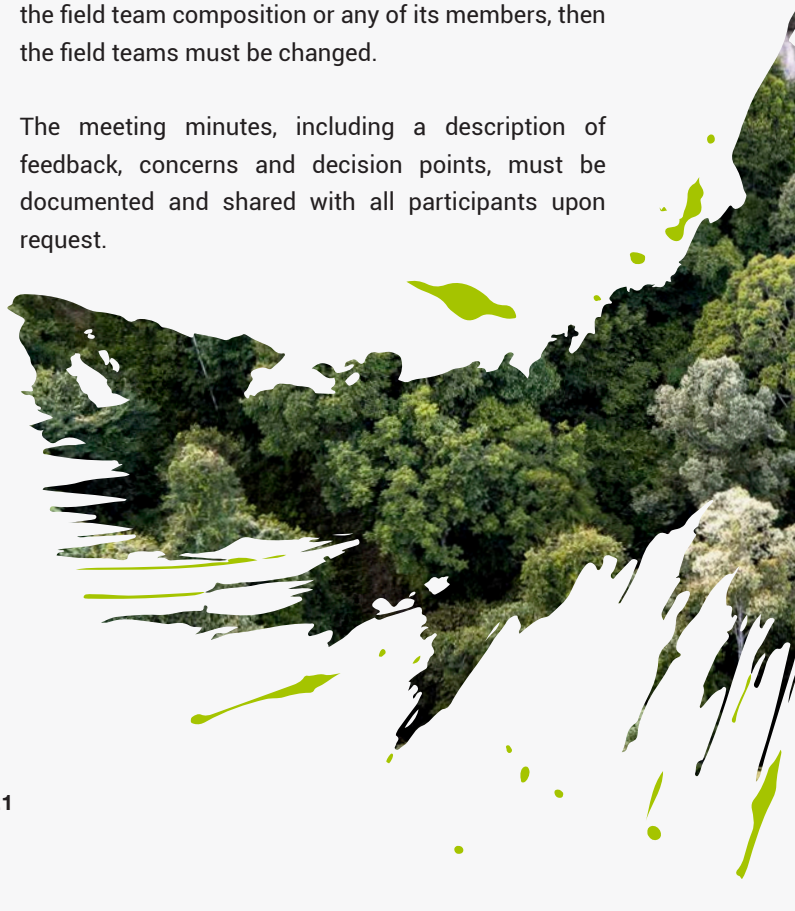
It is important to have the **consent of the smallholders and community members and groups to proceed with the assessment**. One means to gain their consent is a village consultation. The village consultation must be organised by the smallholder group and the support team. In the case where a regular village meeting takes place[20], the toolkit implementation may be added as an agenda item.

It is difficult to define how many participants should attend the consultation meeting to define a quorum. It is expected that **>15% of households should be represented at the consultation meeting** to be confident that constructive feedback, concerns, or objections to certain activities would be picked up. In the case where there is no objection during the consultation meeting, this may be interpreted as a proxy for consent in the village to continue with the toolkit implementation.
In any case, the default threshold of >15% of households must include all community members and groups as described in chapter 2.2.

The village consultation may be done in a single meeting, or several meetings, as suitable for the local context. Virtual meetings via mobile phones or other electronic media are eligible as they allow for greater flexibility and help to reduce costs.

One of the decision points during the first village consultation must be an **agreement to proceed with the assessment and to start field verification activities**. Should there be any reservations or concerns against the field team composition or any of its members, then the field teams must be changed.

The meeting minutes, including a description of feedback, concerns and decision points, must be documented and shared with all participants upon request.



20 That fulfils FPIC requirements as explained in chapter 2.2

STAGE 5: FIELD VERIFICATION

Method:

- Training of field teams (e.g. 1-2 days training on what and how to verify field parameters, how to fill in checklists, how to read maps, how to work as a team).
- Sampling and field checks of forest patches and open lands.
- Field checks are based on visual assessments of vegetation structure at specified geolocations. This includes the taking of 360 photographs (N, E, W, S + vertical up to the canopy) at specified geolocations and filling in the field check form for each geolocation.
- Update maps of the AOI with information from field checks.
- Meetings with field teams and smallholder group.

Objectives:

- Delineate and map land cover and land use zones, e.g. including 'good' forest, 'bad' forest, ICAs, conservation areas outside of forests, and plantations, also identify where HCVs overlap with these zones.
- NOTE: ICAs are HCV 5 and 6.
- Create a map (digital and hardcopy) with verified land cover and land use zones that can be discussed during development of an Integrated Conservation and Land Use Plan (ICLUP) and a Management & Monitoring Plan.

Materials / Documents:

- Simplified Toolkit including checklist and field check form
- Maps of the AOI (digital and hardcopy) including location of sampling points
- GPS, mobile phone, camera (if not using phone camera), clipboard measurement and recording tools.
- Field equipment
- Optional: Drones

Expected Output:

- Registry or Excel file (.xls/.xlsx) with field check data
- Revised map (digital and hardcopy) that contains all relevant land cover and land use zones.

Estimated Length of Time Needed:

- 5 – 7 days (depending on accessibility)

5.1 PREPARATION FOR FIELD VERIFICATION

Field verification is carried out by field teams that should be trained and properly equipped to collect field data. **First priority for field verification** is that each team member stays safe during data collection.

If field points are located in inaccessible areas, the field team may mark the field check form as inaccessible and write down the reason. The use of drones to verify such areas should be considered.

Also, **maps of the AOI** (digital and hardcopy) must be prepared. These maps should have basic thematic layers such as indicative vegetation cover (see *ANNEX 2 – Simplified HCS vegetation stratification*), ICAs if known from ICA or social mapping, elevation, water-ways, settlement areas, infrastructure such as bridges, roads and paths, and the field checkpoint locations.

A best practice or scientific sampling design (e.g. a stratified random sampling design) should be used, if possible, to identify the location of verification points and how to distribute them over the **village administrative area and customary land that is claimed by the community and needing to be verified** (see chapter 1.3). Please keep in mind that thematic maps must be prepared for the AOI, but that field verification may be focused on forest areas and areas with HCVs, particularly customary forest, as these are the most important areas to visit, complete a field check and confirm the boundaries of. In complex mixed-use landscapes, categorising and verifying the very dynamic ICAs (that frequently change from one use to another) may be very time consuming and unnecessary. Other verification methods may be more suited such as checking against high resolution imagery or using a drone.

How many field points should be assessed during field verification?

A minimum of 50 field checkpoints should be assessed, and the number of field checkpoints needed to verify land cover and land use will depend on:

- The number, size, and degree of vegetation homogeneity of forest patches and outside of forest patches.
- Types of ecosystems (example: peat and non-peat, mangrove, etc.)
- Whether the boundary of a forest area is already clear and demarcated/mapped and the quality of data gathered during the social mapping.
- The number of **'focus areas'**, e.g. in Important Community Areas (ICA), 'good forest' patches, HCVs that are not in forested areas (e.g. other natural ecosystems, riparian areas or steep slopes), and also in transition areas between forest and scrub or open land.
- The area or proportion of ICAs, e.g. for shifting cultivation, agroforestry systems, or home gardens or plantation and settlement areas. Field checkpoints may not be necessary for these areas, unless required to delineate the boundary with 'focus areas'.

The technical team must decide on **the number of field checkpoints necessary, in combination with what other field verification methods are used such as drone data, other maps, and other high resolution remote sensing data**. Particular attention should be placed on the border or transition areas between forest and scrub, and forest and ICAs, in order to accurately map these areas.

At the village administrative area level, a total of 50 field checkpoints might be a common scenario.

The preparation process for carrying out field checks may take several days, depending on the size and accessibility of the area, number of field checkpoints required, and training necessary of team community members in the checkpoint process. We recommend including as many community members as possible (members with experience and knowledge with the forests within the AOI or forest guards if they already exist), who can then be divided into different **field teams**. A schedule should be developed for each of the field teams encompassing field checkpoints and estimated days for completion. Each group may need a team leader, a map reader, a data recorder, someone to clear the path, etc. However, team composition may be assigned based on experience and depending on the local context.

Once the field teams have been assigned, the tools and materials for field verification must be prepared, including:

- GPS tracking device (can be a mobile phone or using other mobile applications);
- camera (can be a mobile phone);
- drones (if available);
- maps of the AOI with locations of field checkpoints (soft copy on mobile phone is ok);
- field check forms (at least 1 form for each field checkpoint);
- stationery, notepad, clipboard, plastic sleeves, and zip-lock bags;
- tools to clear the bush and first aid kits;
- the means of transportation to reach field checkpoints should also be determined and prepared before the start of field verification activities.

5.2 FIELD VERIFICATION PROCESS

The main objective of the field verification process is to verify land cover and delineate vegetation and land use zones. This is necessary because the actual, **on-the- ground land cover or land use zones** may be different from the ones shown on the previous thematic maps or other data[21].

After the field verification process and field data analysis, the initial maps should be corrected, as much as possible. The corrected maps can then be called **verified land cover and land use maps**.

The data collection process at each of the selected field checkpoints (see chapter 5.1) is straightforward and should not take more than 10 – 15 minutes. An **easy to use field form** has been developed for this purpose, which must be filled in for each field checkpoint. The field form can be found in the supporting document:

Simplified Toolkit for Indonesia – Templates and checklists for implementation / Field form (Template 2) – Page 54

Each of the field checkpoints requires a visual check to assess the composition and **structure of forest patches and other vegetation**, and to **record other features** that can be observed within sight of the field team, e.g. animal tracks or nesting features of focal species, cultural artefacts, farming, human, or natural disturbances.

Five (5) photos must be taken at every field point in a forest patch: one picture of the canopy and four pictures of the stand structure (pointing north, south, east, west). The photos should illustrate the basic structure and density of the vegetation at each field point. Include a team member in the photo to show scale if needed e.g. size of trees. At field checkpoints outside of forest patches only 4 photos must be taken (north, south, east, west). The **photos must be geo-referenced**.

The delineation of vegetation strata and land use zones can be a time consuming process.

This set of requirements acknowledges that and provides options below to optimise efforts:

- ICAs: the land cover in ICAs, e.g. areas for shifting cultivation, agroforestry, or home gardens, may be combined into one class, and thus unless it is necessary to demarcate forest areas located within them, it is acceptable to just map the boundaries of these areas while identifying any specific HCVs within them, if possible.

- Tree clusters < 0.5 ha: These areas do not have to be mapped unless they contain any of the following HCV elements: focal species, ICA, riparian area or on steep slopes. They may be assigned to the adjacent vegetation class or land use zone, e.g. a cluster of trees in an oil palm plantation may be mapped as plantation only.

- Individual plots of land: The boundaries of individual plots of land do not have to be mapped, e.g. individual farmlands may be combined in the land use zone plantation, unless the smallholder wants to complete the mapping of the individual farmlands.

In addition, it can be difficult to map boundaries between adjacent vegetation or land use zones, e.g. for vegetation between 'bad' forest and scrub or open land or for land use between customary forest and ICAs. In these **gradual transitions**, best practice and common sense solutions for delineation may be applied. These may include, for instance, delineation with an accuracy of ± 30 m or delineation using prominent features.

We encourage the **use of drones, high resolution satellite images or social and participatory mapping data in combination with field verification** to speed up the verification and delineation process. However, depending on access, drone usage may not be as cost efficient compared to field checks and tracking using a GPS.

21 These maps are usually created from indicative HCS maps, HCV probability maps, and other large-scale maps that might be slightly outdated or not 100% accurate with actual vegetation or land use zones in the AOI.

5.3 VERIFICATION DATA ANALYSIS

The technical and local expert team should take a lead on this phase, and work in close collaboration with community representatives.

The expected output from field verification and field data analysis is a **verified land cover and land use map for the village administrative area or the customary land areas claimed by the community**. This map should include the vegetation and land use zones listed below:

- HCS forest (that may be separated into 'good' forest and 'bad' forest)
- Important Community Areas (ICA)
- ICAs for shifting cultivation, agroforestry, or home gardens
- HCVs 1 – 3 in and outside forest areas (if possible)
- Scrub and open land
- Plantation and farmland
- Other areas including settlements and other infrastructure (may be separated as suitable for the local context).

It is important to note that HCVs may overlap significantly with HCS forests. Identifying the HCVs in HCS forests, provides a framing on why HCS forests are important locally (e.g. provisioning of local ecosystems services, community needs and cultural values) as well as globally. Figure 3 below illustrates the overlaps between HCS forest and HCV areas.

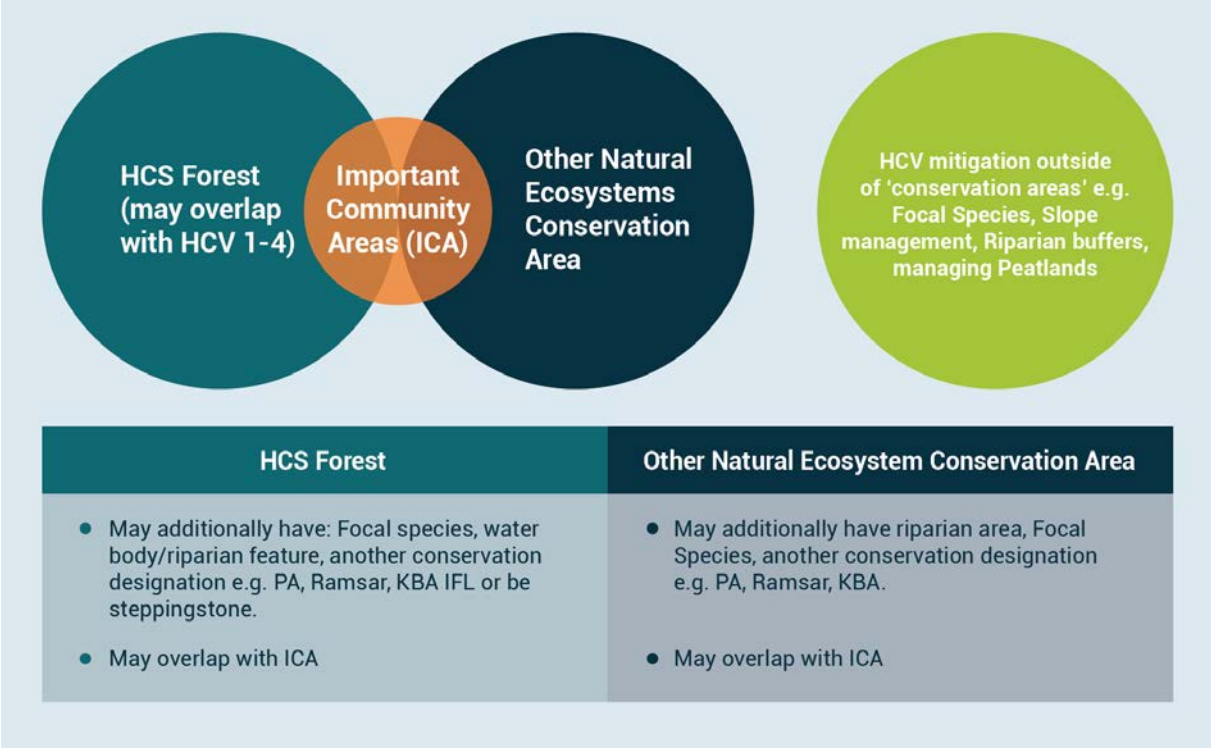


Figure 3: Illustration of overlap between HCS forest and HCV areas

This verified land cover and land use map as well as the participatory land use map can then be analysed by the technical team using spatial analysis GIS tools following the Decision Tree 2 below to determine the forested 'Proposed Conservation Areas'.

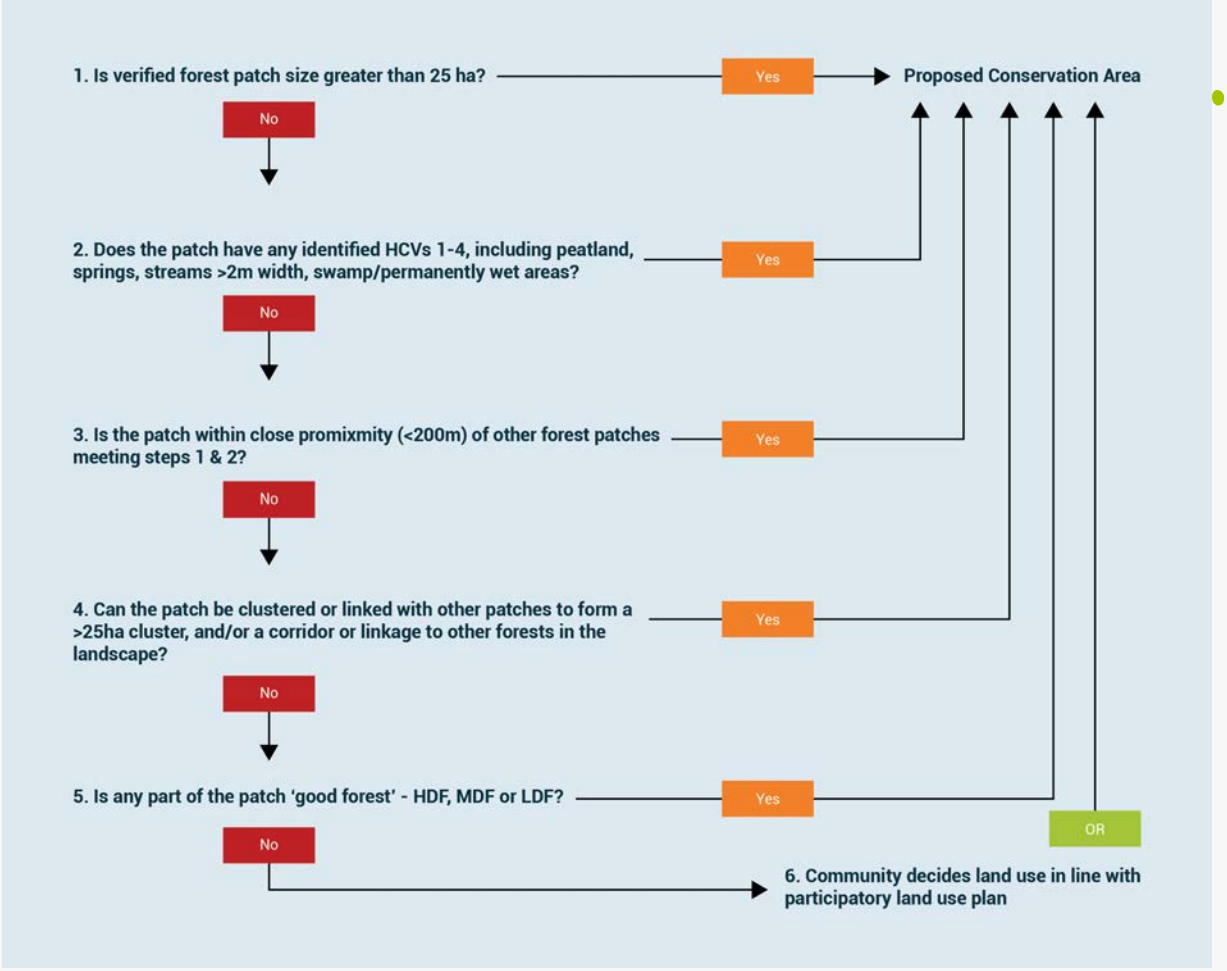


Figure 4: Decision Tree 2 – Proposed Conservation Area Determination

Below is a summary decision tree of Stages 1 -5 and all the decisions and FPIC points with the smallholders and community. The output is a land cover and land use map produced from the participatory mapping process and verified HCS forest areas and areas with HCVs.

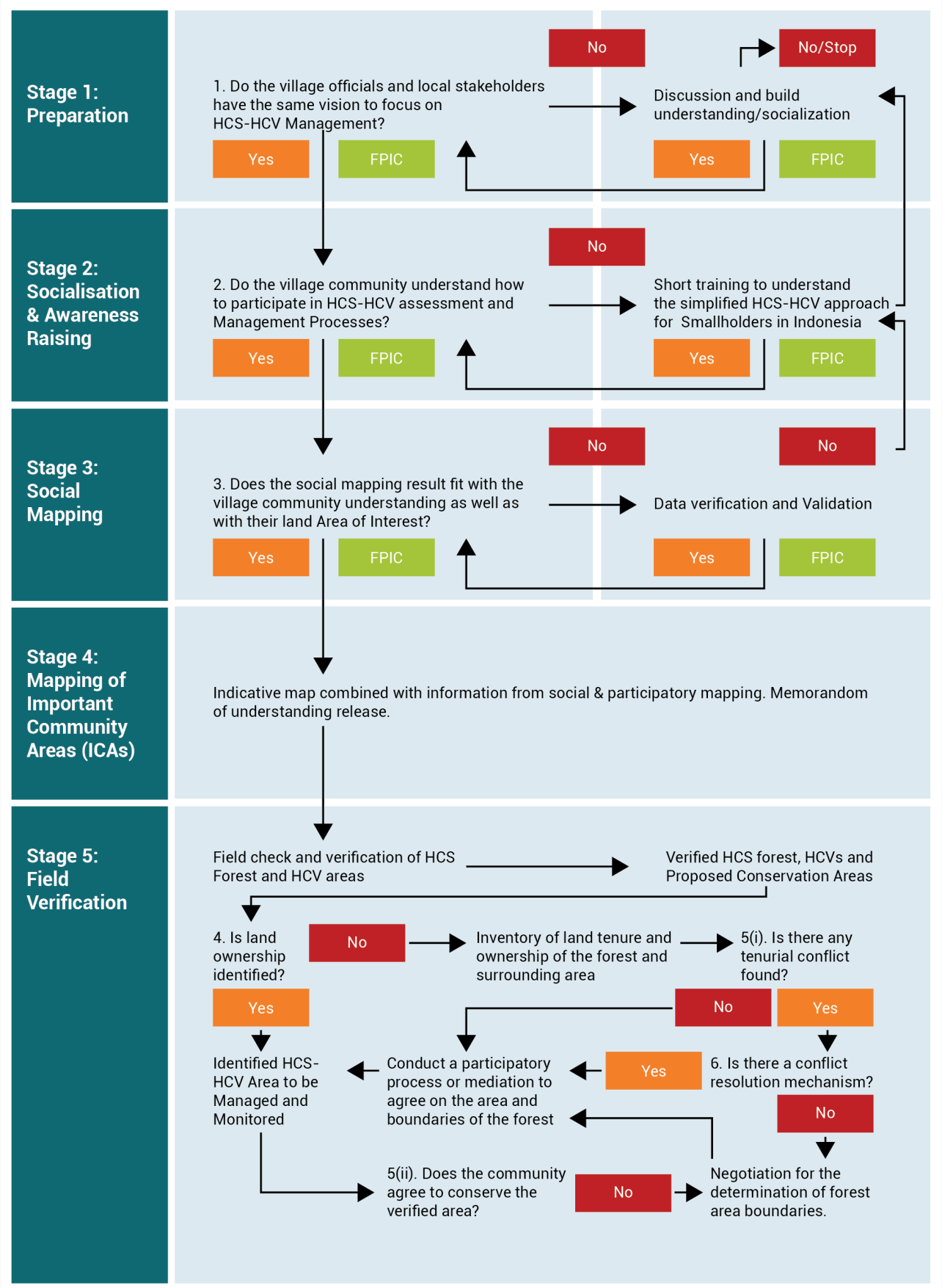


Figure 5: Decision Tree 1 – Summary of the toolkit implementation process (Stages 1-5)

STAGE 6: INTEGRATED CONSERVATION AND LAND USE PLAN (ICLUP) AND MANAGEMENT & MONITORING

Method:

- Spatial analysis and implementation of the decision tree
- Facilitated group meetings with the smallholder group and community members and groups
- Update land use zone map (digital and hardcopy) with input from group meetings
- Minutes from meetings and share with participants

Objectives:

- Finalise land use zones, e.g. customary forest areas, ICAs, conservation areas outside of forests, and plantations
- Create a final map (digital and hardcopy) with verified land use zones, e.g. including conservation areas, ICAs, and development areas
- Boundaries of the planned conservation areas
- Develop and agree on an Integrated Conservation and Land Use Plan
- Draft Management & Monitoring Plan

Materials / Documents:

- Simplified Toolkit including checklist
- Thematic maps of the AOI (digital and hardcopy)
- Supporting information
- Workshop materials (paper, pen, etc.)

Expected Output:

- Integrated Conservation and Land Use Plan
- Minutes of meetings
- Draft Management & Monitoring Plan

6.1 INTEGRATED CONSERVATION AND LAND USE PLAN (ICLUP)

The aim of the ICLUP is to arrive at an agreed plan of how village and community land will be used and managed. An 'initial', 'proposed' and 'final' integrated conservation and land use plan will be developed by the community and agreed in **consensus with the community**.

Broad management objectives will be agreed for the different land use zones that were delineated during the community participatory mapping and planning and from *Stage 5: Field verification*. It is important to identify those areas that are to be **set aside for conservation purposes**, and to distinguish these areas from areas that are **available for other land uses**. This includes recognising potential measures to protect HCVs e.g., preventing soil erosion, maintaining riparian buffer zones, allowing focal species to pass through. A Management & Monitoring plan will be agreed and put in place.

This initial ICLUP can be used to identify incentives and benefits for the management of conservation areas. Following trials by SPKS and HCSA as part of the Toolkit development, an incentives and benefits mechanism[22] has been established as an example of the additional support needed for smallholders to protect HCS forest and HCVs.

6.1.1 INTEGRATED CONSERVATION AND LAND USE PLAN DEVELOPMENT PROCESS

The expert team should support this phase with community members who are leaders and representatives for the land involved. The customary landowners of the verified HCS forest, HCV areas and proposed conservation areas (Stage 5 output) need to be identified and their FPIC obtained for verified areas and proposed conservation areas. Once this is achieved, these will form an 'Initial' ICLUP. If the land ownership or boundaries are not clear then steps are taken to clarify these via participatory processes and if necessary negotiation and mediation. If disagreements remain, this must be resolved through a separate dispute resolution process. Conflicted areas are not considered compliant with HCSA until the conflict is resolved.

A third village consultation on the Initial ICLUP is then carried out (see 6.1.2 below), incorporating a participatory process with the community to further consider land use decisions.

Reasonable efforts and common sense should be applied when deciding on how to treat forest patches that are considered 'bad forest', that do not have HCVs 1 – 3 and exist outside of ICAs. We recommend that the default option should be conservation, but it may be more important for community members to develop these areas into more productive land uses, particularly if they are very small patches e.g. less than 2 ha.

Other areas, including settlements, infrastructure, and other forms of land use, may be classified as **other areas**. The community is free to choose corresponding names and how many different land use types it wishes to create in the local context.

The community may choose to classify an ICA as a conservation area or leave it categorised as an area for community use. Similar objectives apply for both land use zones. Communities may utilise these land use zones in ways that do not diminish environmental and social values. Many ICAs are used for production of food and other crops. Therefore, these areas have an important socio-economic function. Also, these areas may appear as regenerating forest at the time of the assessment, but in reality are forest fallows in a shifting cultivation regime or are part of a multi-layered agricultural system.

For those areas outside of the verified HCS forest, HCV areas and proposed conservation areas, such as scrub or open land, plantations or farmland, and areas with a low probability of HCV presence, the community may decide how to use the area. However, if the area is intended to be used for shifting cultivation, agroforestry systems, or home gardens, then it should be considered an **ICA**.

22 https://farmers4forest.org/

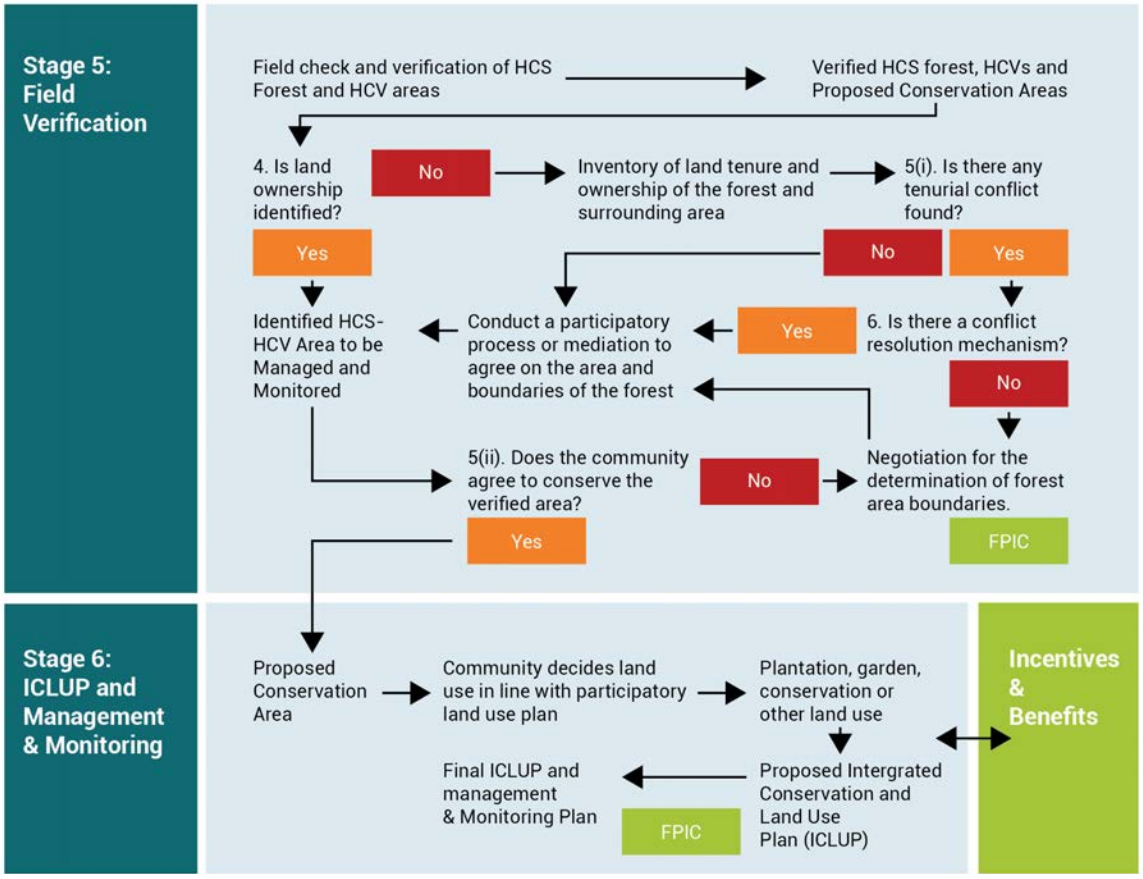


Figure 6: Decision Tree 1 – Summary of the toolkit implementation process (Stages 5-6)

6.1.2 VILLAGE CONSULTATION (THIRD CONSULTATION)

The initial Integrated Conservation and Land Use Plan must be consulted with the smallholders and community members and groups. It is important to have the **consent of the community on the plan of land use zones and broad management objectives**, and a means to gain their consent is a village consultation or the 'Musyawarah Mufakat 'process in Indonesia. The village consultation is organised by the smallholder group and the support team. Where a regular village meeting takes place[23], the toolkit implementation may be added as an agenda item.

It is difficult to define how many participants should attend the consultation meeting to define a quorum. It is expected that **>15% of households should be represented at the consultation meeting** to be confident that constructive feedback, concerns, or objections to certain activities will be picked up. If there is no objection during the consultation meeting, this may be interpreted as a proxy for consent in the village to continue with the toolkit implementation.

In any case, the default threshold of >15% of households must include all community members and groups (or their representatives) as described in chapter 2.2. The village consultation may be done in a single meeting, or several meetings as suitable for the local context. Virtual meetings via mobile phones or other electronic media are eligible as they allow for greater flexibility and help to reduce costs.

One of the decision points during the third village consultation must be an **agreement on the Initial and then Proposed ICLUP**[24]. Should there be any reservations or concerns against the ICLUP, then further discussions or meetings should be facilitated until an agreement can be reached.

The meeting minutes including a description of feedback, concerns and decision points must be documented and shared with all participants upon request.

23 That fulfils FPIC requirements as explained in chapter 2.2
24 The ICLUP is the final output of the assessment stages and is the culmination of the all the stages of the Simplified Toolkit prior to the development of the Management & Monitoring Plan, incentives, and benefits.

6.2 MANAGEMENT & MONITORING PLANS

6.2.1 DEFINE THE MANAGEMENT AREA

The first step with creating a Management & Monitoring Plan is to define the area needed to manage the HCS forest and HCV areas to ensure that those areas are maintained and enhanced.

Thus, the following steps are completed:

- Establish boundaries of the Management Area based on the proposed ICLUP from step 6.1.2;
- Prepare a map of the Management Area including the different categories of protected areas;
- Provide a description and location of the HCS forest areas and HCVs;
- Establish a baseline of the current condition on each value (HCS forest and each HCV) -this is the starting point for the Monitoring Plan.

Defining the Management Area will be based on the agreed proposed ICLUP, field data gathered during the assessment process and participatory processes with the community. It may require consultation and negotiation with adjacent communities and villages to ensure the Management Area boundaries are clear and agreed.

6.2.2 THREAT ASSESSMENT

The threat assessment is a critical next step to be carried out. Through identifying the major threats, management actions can be formulated to protect and restore the HCS forest and maintain and enhance the HCV values. The threats are identified based on information from the local community during the consultation phases, any local research or studies, the current practices of the natural forest management by communities, NGOs, other stakeholders including experts, and field trial observations by the field team. It is important to:

- Identify all threats for the different areas;
- Identify where or whom are the threats coming from, whether internal within the community or village, or external (outsiders), as well as whether they are direct threats or indirect ones;
- How often do the threats occur – what is the frequency of them?
- What is the impact of the threats to the forest or HCVs in the different areas?

The threat assessment table below should be used together with Annex 2 (Simplified HCS Vegetation Stratification) and Annex 3 (Simplified HCV Categories).

Values	Brief description	Threats (including source - internal and external)	Level of threat (Very High, High/Medium/Low)
HCS		*Current and potential threat*	
HCV1		*Current and potential threat*	
HCV4		*Current and potential threat*	
HCV5		*Current and potential threat*	
HCV6		*Current and potential threat*	

Table 3: Threat Assessment Table

6.2.3 DEVELOP THE MANAGEMENT PLAN

Following the Threat Assessment, the community or village then needs to develop the Management Plan for conservation and protected areas, including HCS forest and HCV areas. The Management Plan will need to have two types of activities: firstly activities within the defined management areas and secondly interventions to respond to threats coming from outside the management areas. The management plan is required to have the following components:

- Define general management objectives (for example, to maintain the forest category as natural forest for future generations)
- Define specific objectives of the management (for example, to maintain populations of endangered species found as HCV1 to be the same as the baseline and/or improvement or increase of such species)
- Define management strategies (for example, conservation of the whole management area)
- Identify the management activities, including to address the identified threats and an Incentive and Benefits (I&B) program (for example, preparing inventory of such population; preparing regulations agreed by the whole communities to not hunt or utilise such species)
- Establish a team or a unit that will implement this management plan and the I&B program
- Establish a budget and timeframe for the implementation
- Establish an Incentives and Benefits program to support the management
- Establish a reporting system to monitor this implementation

In most situations the areas identified as HCS forest will also be the areas for maintaining identified HCVs.

Thus, there will be multiple objectives and management activities over the same Management Area, with the focus on protecting and restoring the different categories of forests and maintaining and enhancing the HCVs.

The Management Plan will need to determine rules for land use by the local community, in line with customary practices and any local regulations. For example, conservation areas are not able to be converted to plantation or farmland but may be used by the community to sustain livelihoods or basic needs. However, community activities should not threaten environmental or social values of conservation areas. Hunting and fishing in forest patches and watershed areas is ok as long as it does not diminish species populations. However, hunting or collecting species with commercial motives for wildlife trade is not consistent with management objectives for conservation areas.

The development of areas outside of HCS forest, HCV areas, proposed conservation areas and ICAs, should not be detrimental to the environment or the community. However, the development of these areas may strengthen the community in socio-economic terms, and, as such, may be very important for overall sustainable development and also for the wider landscape.

To achieve the protection of forests and HCVs it is essential that smallholders, communities, and villages are supported through incentives and benefits (I&B). These I&B effectively share the burden of protection with a wider group of stakeholders, reaching as far as the global community, and help resource the costs of conservation and protection. The I&B identify the needs of the community and via an I&B mechanism channel this essential support to them. It is imperative that the I&B program is generated from among others, the resources to implement the management plan activities, including interventions to protect and restore HCS forest and maintain and enhance HCV areas.

Name of Forest or HCV area	General Objective	Specific objectives	Management Strategies	
			Areas	Prescription

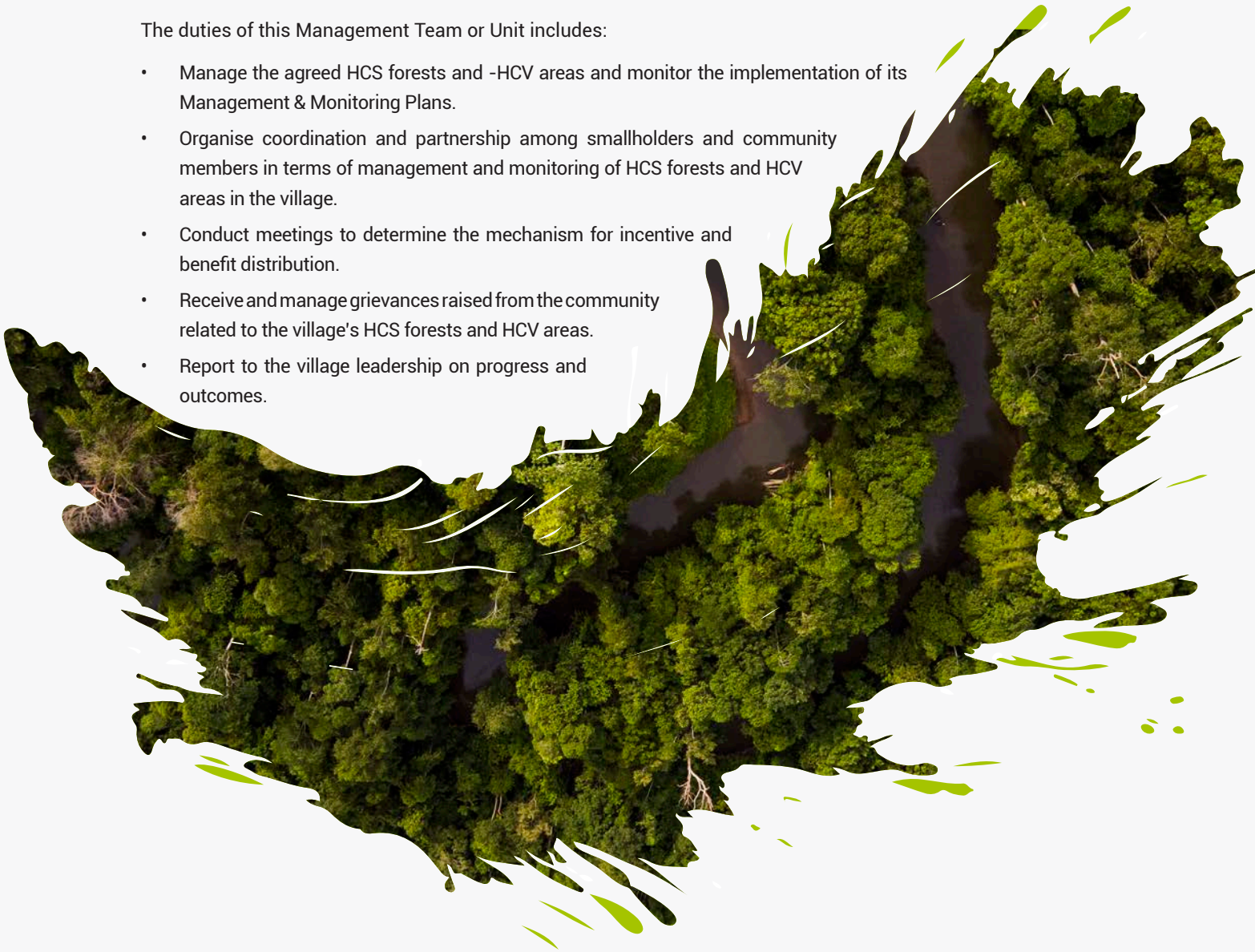
Table 4: Example of a Management Plan

Consultation and participatory processes with the community and village include:

1. Jointly discussing the proposed Management Plan activities for HCS forests and HCV areas protection, management, and monitoring
2. Discussing alternatives for smallholders' and the community's activities that may be detrimental to the protection of HCS forests and HCV areas (e.g. by looking for alternative resources in non HCS forests such as Scrub and Open land areas)
3. Agreement by the community or village with the management activities in the Management Plan with evidence of their willingness and consent accordingly.
4. Establish a Management Team or Unit within the village or group of villages to oversee the Management & Monitoring Plans. The mechanism for appointing the Management Team or Unit can be conducted according to local custom. The management unit formation should consider the following:
    - Whether the group is an "association" or group of smallholders.
    - The functional entity of operation that the community is working within, in terms of utilisation of the resources/plantation.
    - What type of group is the community most comfortable with, and that has the authority and the same goals.
    - Who is holding the land ownership rights.

The duties of this Management Team or Unit includes:

- Manage the agreed HCS forests and -HCV areas and monitor the implementation of its Management & Monitoring Plans.
- Organise coordination and partnership among smallholders and community members in terms of management and monitoring of HCS forests and HCV areas in the village.
- Conduct meetings to determine the mechanism for incentive and benefit distribution.
- Receive and manage grievances raised from the community related to the village's HCS forests and HCV areas.
- Report to the village leadership on progress and outcomes.



6.2.4 DEVELOP THE MONITORING PLAN

A critical purpose of monitoring is to find out if the HCS-HCV management strategies are implemented and if the management objectives are being met e.g. whether the area of the forests remains the same or is reduced, and are the HCVs being maintained and enhanced. The monitoring should be designed to differentiate the effects of internal activities from the effects of activities undertaken by the others (outsiders), as well as those unrelated to direct and local human activities such flooding from upstream, or droughts induced by climate change.

The monitoring should start when the baseline information is established. Indicators need to be established and agreed on what will be monitored. Important questions to be asked during the monitoring process include:

- Have changes taken place in the HCS-HCV area? If so, what has caused them;
- Have the risks and threats facing HCS-HCV changed;
- How effective are the management strategies.

Monitoring results should provide up-to-date information on the status of the HCS-HCV management area and function as a basis for management interventions or adjustment. Based on type, monitoring activities can be classified into operational monitoring, strategic monitoring, and threat monitoring. The monitoring results need to be analysed in order to adjust the Management Plan if necessary.

Monitoring of Incentives and Benefits (I&B) mechanism implementation and activities is integrated with monitoring of management activities and outcomes, where the flow of funds and support is conditional on monitoring showing positive outcomes. Below is an example of a schematic for an I&B mechanism, the 'Farmers for Forest Protection Foundation' fund (4F) that shows the role of monitoring and reporting in layer 5.

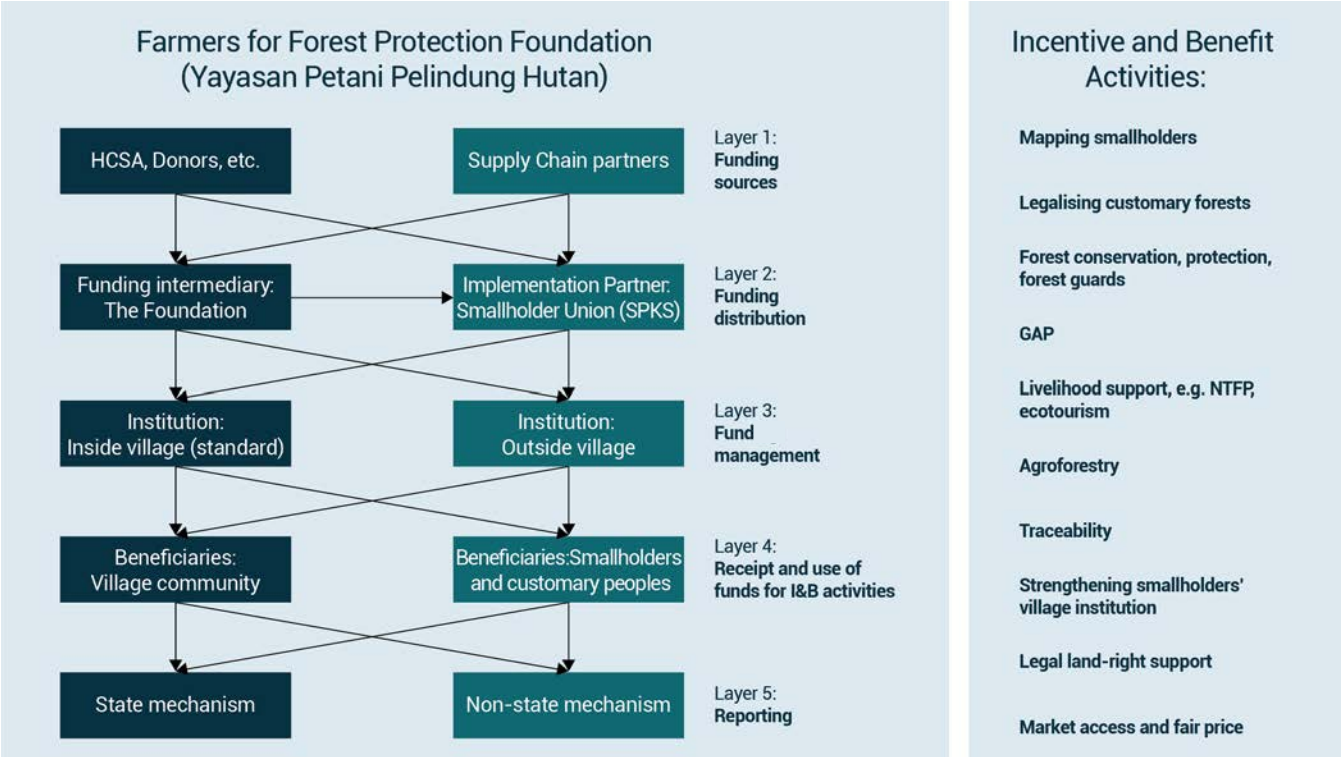


Figure 7: Example of Incentives & Benefits mechanism, the 'Farmers for Forest Protection Foundation' fund (4F)

High quality deforestation-free programs require more than one tool to monitor and report progress. Therefore, additional to the monitoring and reporting in relation to the Management Plan at the village level, the I&B mechanism will monitor and report progress and impacts including via:

A. State Mechanisms:
   - Government program monitoring and reporting
   - Peraturan Desa (Village Regulation), Peraturan Adat (Customary Regulation)

B. Non-state Mechanisms:
   - Smallholders' declaration
   - High Carbon Stock Approach monitoring
   - Deforestation-Free Landscape monitoring
   - Global Forest Watch
   - Independent Verification (including ISPO/RSPO/Carbon if applicable)

Location	Operational Monitoring	Strategic Monitoring	Threat monitoring
[name of forest or HCV area]	*e.g., patrols to prevent felling of trees*	*e.g., annual survey of a species population*	*e.g., Observe and record any incursions by outsiders to utilize the forest.*

Table 5: Example of a Monitoring Plan

In addition to this monitoring, one important element to be monitored is the efforts of the community in conserving and protecting their forests and any external verification or acknowledgement of this. It is expected that over time, given the community's commitment to protection and conservation of their forests and HCVs, there will be acknowledgement or recognition from other parties. The legal recognition will be important to secure the communities' right over the forests that they have conserved and protected, which will then involve some level of monitoring by the local government. The recognition and monitoring by supply chain partners of community forest protection can boost the community's motivation to continue their protection, especially if linked to market premiums or fair pricing that supports their sustainable livelihoods.

ADAPTIVE MANAGEMENT

After the management and I&B activities have been implemented and the monitoring completed, the community will then have to review the results of monitoring to assess the progress in meeting the management objectives. If the objectives are not met, management strategy alternatives should be developed. The management plan should be open to new information from the monitoring results. Management activities can be modified over time based on the lessons learned from the monitoring. An adaptive Management Plan should be responsive to any changes in the HCS-HCV management areas. Finally, applying the precautionary approach and continuous improvement is expected to support the forest protection management objective.

ANNEX 1 – GLOSSARY OF TERMS

Conflict	A conflict, over land or resources, is one in which the conflicting parties have not agreed to a pathway for resolving the conflict.
Consensus:	An agreement that is reached without sustained objection from any community groups or members. In Indonesia it is commonly reached via the 'Musyawarah Mufakat 'process
Conservation area:	An area with the main purpose to conserve environmental and social values. Communities may use this area to sustain livelihoods and to fulfil basic needs without diminishing environmental and social values.
Dispute:	A dispute, over land or resources, is one in which the disputing parties have agreed on a pathway to resolve their dispute.
FPIC:	Free, Prior, and Informed Consent, is the principle that a community has the right to give or withhold its consent to proposed projects that may affect the lands they customarily own, occupy or otherwise use.
Important Community Area (ICA):	Important Community Areas are those deemed important or valuable to the entire community for supporting their livelihood, to fulfil basic needs of community groups and serving as sacred sites, which should be safeguarded. ICAs include customary forest, sacred sites, protected forest, tembawang and other areas that recognise existing livelihoods and basic needs of smallholder communities in mixed production landscapes. Areas identified as ICAs need to be included in the management and monitoring plan. and members. ICAs also include areas with woody vegetation, which may appear as forest, but are part of shifting cultivation regimes, agroforestry, or home gardens. These areas can be used for traditional or commercial agricultural production. However, the existing tree cover and multi-layered agricultural system should not be converted to plantations or farmlands. The High Conservation Value categories 5 and 6 are covered within ICAs.
Participatory mapping:	Participatory mapping is a general term used to define a set of approaches and techniques that combines the tools of modern cartography with participatory methods to record and represent the spatial knowledge of local communities.

ANNEX 2 – SIMPLIFIED HCS VEGETATION STRATIFICATION

Below is a table on the HCS vegetation stratification vs. the simplified smallholder land cover and use classes. **Further details about the simplified stratification** are given in:

Simplified Toolkit for Indonesia – Templates and checklists for implementation / Vegetation and land coverclasses (Template 3).

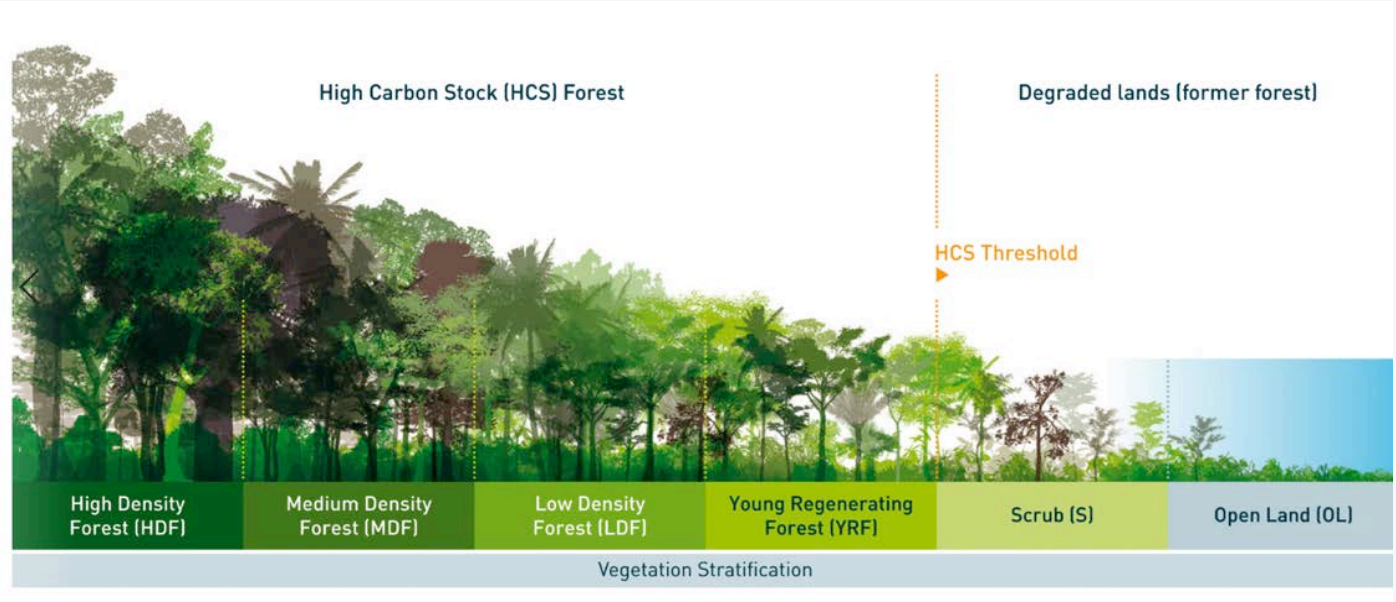


Figure 8: Regular classification of vegetation density for determining HCS area (source: HCSA Toolkit)

HCSA Vegetation Classification	Land cover class	Usual status (use)	Description and Characteristics
High-density, medium-density, and low-density forest (HDF, MDF and LDF)	HCS Forest. May be described as 'Good Forest'	**Conservation**	Natural forest with closed or patchy canopy. Usually dominated by trees with a diameter of > 30 cm. No recent commercial logging activity in the area. Often the village community consider it as protected forest as it is a sacred area, a source for medicinal plants/ herbs, or for hunting. The good forest (generally old forest) is a forest that provides sources of livelihood to the village community which includes: 1. Non-Timber Forest Products (NTFPs), 2. Food, 3. Medicinal herbs, 4. Environmental services such as water catchment and swamp forest, 5. Sacred values, 6. Building materials including timber.
Low-density and young regenerating forest (LDF and YRF)	HCS Forest except if it is used for active swidden and other community use. May be described as 'Bad Forest'.	May be conserved or developed depending on whether or not it is an ICA/swidden area after confirmation via the initial land use plan	A highly disturbed forest or former forest area in a regeneration stage towards its original structure. Traces of previous logging activities or from past clearance are visible in the area. For YRF, (young) trees are usually between 10 – 30 cm in diameter and are more than 10 years old. May or may not have a closed canopy. This land cover class is usually not far from road access and may be found next to plantation areas. Bad forest (can be young forest) can also be a source of livelihood for the village community which includes: 1. Non-Timber Forest Products (NTFPs), 2. Food, 3. Medicinal herbs, 4. Environmental services such as water catchment and swamp forest, 5. Sacred values, 6. Building materials including timber. Bad forest is commonly a part of ICAs for shifting cultivation, where it may function as forest fallow. It can also appear as part of agroforestry systems or home gardens. Mixed forest with rubber or other neglected plantation of less than 50% of the basal area is included into YRF or LDF category. Identification can be done in the field by estimating without having to measure the diameters.
Variable	Other natural ecosystems	Conservation	For instance, peatlands, wetlands, natural grasslands, vegetation in watersheds or on steep slopes.
Scrub and Open Land	Scrub and Open Land (S & OL)	May be developed or may be part of conservation area	Recently cleared or heavily degraded land with mostly shrubs, grass or vegetation, a few woody plants, and some young trees. Scrub in Indonesia is usually less than 8-10 years old after land clearing or fire.
NA	Plantation and farmland	May be developed	Forest plantation, agriculture estates, smallholder agriculture and use
NA	Other areas	May be developed	For instance, mining, settlements, roads.

Table 6: Simplified HCS Vegetation and Stratification

ANNEX 3 – SIMPLIFIED HCV CATEGORIES

The HCV Approach is a methodology to identify, manage, and monitor important environmental and social values in production landscapes – across any ecosystem or habitat type. There are six categories of HCVs covering biodiversity, large landscapes, rare ecosystems, ecosystem services, and natural resources that provide livelihoods and cultural values.

HCV category	Description	Proxy
1	Concentrations or rare, threatened, and endangered species, concentrations of endemic species, seasonal concentrations of species, and concentrations of protected species	It would be challenging for smallholders to identify all HCV 1 species that may occur on their farms, and recognising these constraints, the Focal Species approach is less about species inventories and monitoring, and more about outreach, capacity-building, and attitudes. A limited set of focal species are selected to be relevant in the local context, with an associated set of recommended precautionary practices, designed to support and where possible maintain these species and their habitats where they occur, and provide a means for smallholders to take concrete beneficial actions, individually or collectively. Existing guidance can be drawn upon by project managers to compile a list of Focal species and develop outreach materials8 for the smallholder landscape. Where there are conflicts with wildlife this needs to be treated with care, and the project managers should be well prepared to support smallholder communities in addressing conflicts. Smallholder communities may also add native species they consider to be locally important to the Focal Species materials, to encourage buy-in on a conservation agenda. There are a range of threats to Focal Species beyond loss of habitat, and therefore associated mitigation measures. Within natural ecosystems, threats can include hunting or poaching, collecting for trade, loss of critical habitat needs such as nesting or feeding trees. More widely within the landscape, threats may include preventing the movement of roaming animals across the landscape.
2	Intact Forest Landscapes (IFL) Intact Forest Landscapes (IFLs) are large areas of forest and forest mosaics, minimally influenced by human activity and are considered areas of High Conservation Value	While existing smallholder production landscapes are unlikely to be located within IFLs, they may be found nearby or adjacent. In such cases, farmers need to be aware of activities that may degrade IFLs, such as opening new access routes, timber harvesting, expanding subsistence home gardens, and constructing temporary settlements. Generic precautionary practices: • discuss with communities on the range of activities that may degrade the IFL edge, such as timber felling, burning of vegetation, cattle-grazing, and hunting/collection, and • based on this list, discuss how to stop or, if feasible, redirect these activities
3	Remaining natural ecosystems	HCS forest patches qualify as a proxy for some HCVs, depending on the landscape context, as using a precautionary approach they can be considered rare, threatened, and endangered ecosystems (HCV 3). Generic precautionary practices include: • Ensure cultivation is not expanded into HCS forests. • Off-farm practices do not degrade the ecological condition and functioning of the HCS forests. Peatlands. Generic precautionary practices include: • No clearing into forested peatlands, which will also likely qualify as HCS forest. • Good agricultural practices on peatlands already under cultivation • Practices to minimise draining, e.g. blocking drainage channels. Other non-forested natural ecosystems These will typically be identified on a case-by-case basis, and can include as an example wetlands, or in rarer cases in Indonesia but certainly elsewhere, natural grasslands. These can be identified during preparation phases (see also sub-section 7 below), as well as in dialogue with the smallholder communities. Generic precautionary practices: • Cultivation is not expanded into the ecosystem. • Where there is already cultivation nearby, use good agricultural practices to minimize impacts • Others to be identified on a case-by-case basis

4	Forest patches or other vegetation on steep slopes, water catchments, or close to rivers or streams	Forest patches or other vegetation at the bottom of steep slopes or close to drainage gullies, forest, or other vegetation close to rivers or streams. **Peatlands.** Generic precautionary practices include: • No clearing into forested peatlands, which will also likely qualify as HCS forest. • Good agricultural practices on peatlands already under cultivation • Practices to minimise draining, e.g. blocking drainage channels. **Farmlands on steep slopes is a proxy for risks to HCV 4, due to the potential for soil erosion** Steep slopes are prone to erosion, particularly during or after heavy rains. Landslides may be catastrophic and endanger human lives. Erosion may also be more gradual, increasing sediment loads in water bodies and irrigation channels with negative downstream impacts, while also causing loss of topsoil, reducing land productivity and drought resistance. Precautionary practices can include: • Erosion on very steep slopes is difficult to mitigate, and farming in such areas should be avoided, particularly where mudslides may threaten lives or livelihoods • Farming on moderately steep slopes requires mitigation of erosion risks, either by constructing or maintaining existing terraces, or through agroforestry that minimises exposure of soil without vegetation cover and where roots of trees or bushes help to stabilise the ground, preferably in combination with channelling running water away from the area. **Farmland close to (e.g., <50m) water bodies (rivers, streams, wells, and dams) is a proxy for risks to HCV 4** Good quality water is necessary to sustain life, to reduce risks of water borne diseases and to meet requirements for cooking and personal hygiene. It may be compromised by leakage from waste, pesticides or fertilisers used on nearby fields, animal dung or by runoff soil particles from fields and fallows. Such pollution may make the water unfit for human consumption, forcing people to bring water from further away, and increasing personal exposure. Precautionary practices can include: • Maintain, restore, or re-establish buffer strips of permanent vegetation (native plants, agroforestry, or perennial crops), 10 m wide or more, between fields and water bodies • Not using pesticides or fertilisers in the buffer strips • Minimise disturbance of strip vegetation cover and bare ground to patches necessary for establishing and renewing individual specimens of trees, bushes, and other perennial plants • Add another, outside 20 m buffer zone where no pesticides or fertilisers are applied or stored.
5	Important Community Area (ICA) for fulfilment of basic needs and to secure livelihoods	Forest patches and other vegetation important for water regulation, biodiversity, food, fibre, or medicine
6	Important Community Area (ICA) for fulfilment of cultural and spiritual values	Places or species of worship, burial grounds, connection with ancestors, spirits

Table 7: Overview of simplified HCV categories for smallholders

ANNEX 4 – COMPILING INFORMATION ON FOCAL SPECIES[25]

This Annex should be referred to during the preparation stage, to support compiling information on a set of locally relevant species that may qualify as an HCV:

- either HCV 1 as endemic or rare, threatened, and endangered species or
- HCV 6 as a species of cultural significance.

Typically for a particular region a Focal Species list may contain 10-20 species. Experts or collaborators such as wildlife organisations and research institutions can assist in selecting species that meet the criteria below and compiling information into a field guide that is locally adapted to the smallholders' landscape. The Focal Species field guide is introduced during the socialisation and outreach and field verification phases, to assess whether any of the species are present, and to discuss the types of threats and mitigation measures which are then included in the management plan.

Selecting Focal Species

Focal species may be resident or migrant, single species or (taxonomically or functionally) related groups of species like 'turtles', 'storks', 'mongooses', 'bees' or 'figs'. Ideally, focal species should be selected to meet some of the following criteria:

- Be readily noted where present, and easy to recognize;
- Together represent a range of organisms, often with an emphasis on birds and mammals, but ideally including also examples of reptiles, insects, and plants;
- Include species nationally protected, IUCN-classified rare, threatened, and endangered (RTE) or CITES listed and other species of conservation concern (HCV 1), where relevant;
- Be familiar to the community and smallholders and have names in local languages;
- Link to concrete precautionary practices that smallholders or community themselves can take to support the species, or as part of a wider initiative such as a 'citizen-science' approach;
- Serve to connect farm sites and surrounding landscapes as some species will have home-ranges /territories that go far beyond the scale of single farms or even groups;
- Help to stimulate an interest in biodiversity and conservation, including how to address and mitigate human-wildlife conflicts where relevant.

In practice, it will be difficult to select focal species which conform to all the above criteria, so on balance, the most important criterion is to select species that are perceived as relevant by the smallholders and local community.

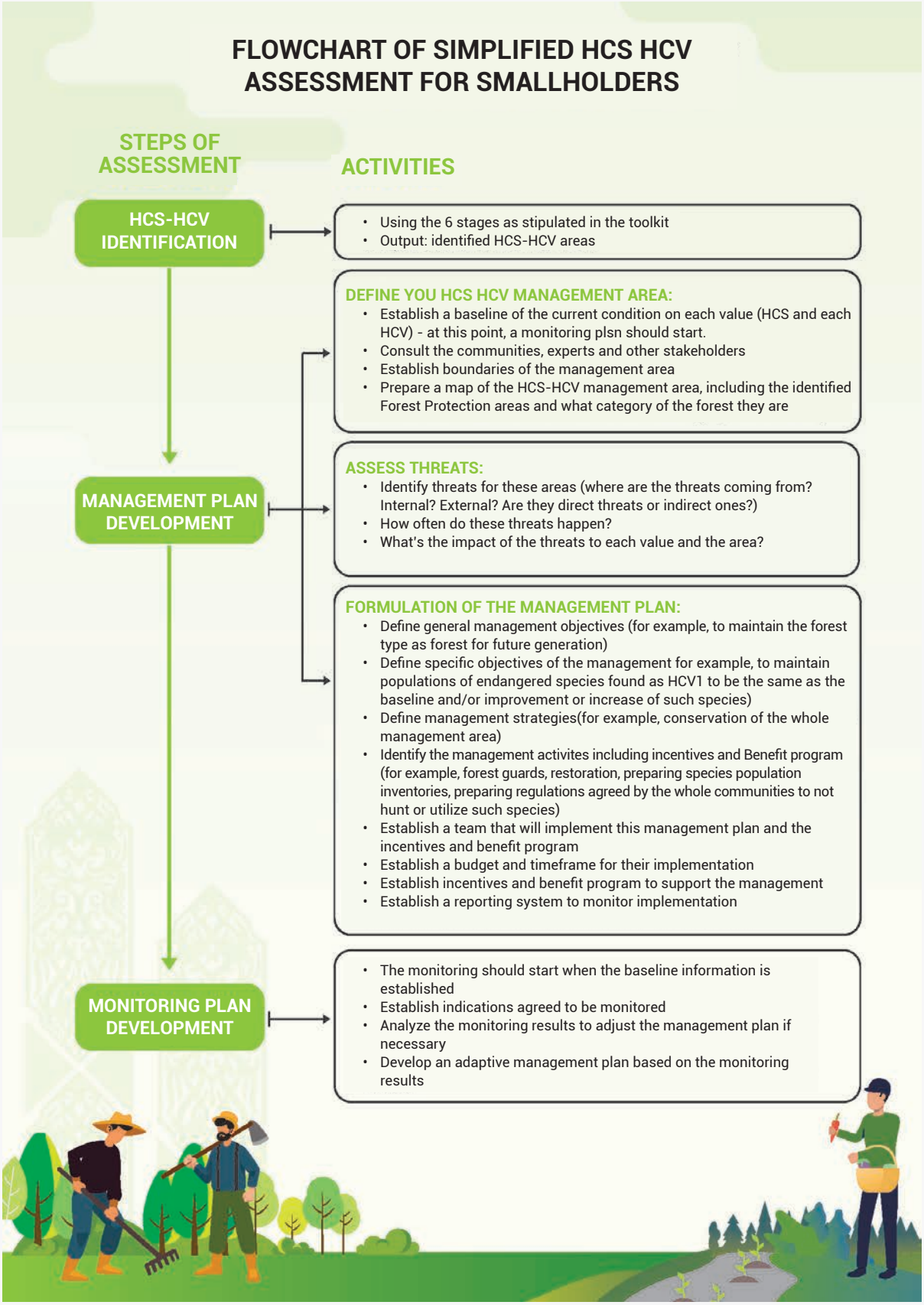
For each Focal Species selected, the field guide should include basic information relevant to the smallholders including local names, how they are observed (e.g. direct observation, prints, feathers etc), basic information on habitats and ecology, conservation status and threats, and precautionary practices.

25 References for the content presented in this Annex include Forest Integrity Assessment Tool. HCVN and WWF (2021), Bonsucro Guidance for Operators – Supply Base Mapping v1 , RSPO HCV procedures for Independent Smallholder Producers

ANNEX 5 – EXAMPLES OF IMPORTANT COMMUNITY AREAS (ICA)

Land Use categorisation	Function to community
Community Forest	Used as a religious site or to perform customary rituals or activities within communities. E.g. Place of worship, burial ground, connection with ancestors or spirits. (HCV 6) Used to harvest timber, collect Non Timber Forest Produce (NFTP) including food and medicine, hunting for sustenance (HCV 5). Land for traditional shifting cultivation (HCV 5)
Home Garden	Areas close to residential areas which are cultivated with plants for sustenance. (HCV 5)
Oil palm and rubber plantations, paddy field	Farmland and plantation to support domestic income (HCV 5)
Water bodies, rivers, etc.	Used for fishing, bathing, and other domestic use. Also includes water that is channelled as irrigation to community fields / farmland (HCV 5).

ANNEX 6 - FLOWCHART OF SIMPLIFIED HCS-HCV ASSESSMENT FOR SMALLHOLDERS



IMPLEMENTATION CHECKLIST (TEMPLATE 1)

The implementation checklist aims to guide independent smallholder groups, their support organisations, and other key stakeholders step-by-step through the implementation process of the Simplified Toolkit. The checklist describes the main activities and expected outcomes for each implementation stage 1 – 6.

It is anticipated that the checklist below can be filled in by independent smallholder groups along with their support organisations. The inputs and documents that are gathered through its application can then be used to create a report that is shared automatically with the HCSA secretariat.

Once a report is approved, the independent smallholder group and lands can be registered, e.g. as 'deforestation-free' by the HCSA secretariat and linked to the HCSA monitoring platform in order to support them with monitoring and evaluation tasks.

A possibility for early engagement with independent smallholder groups and their support organisations could be to register ongoing assessments with the HCSA Secretariat after achievement of the implementation stage 2, or after a community has given their consent to go ahead with the assessment and the development of an initial land use plan.

The checklist has a safeguard function. Whenever community consent is required for moving on to the next stage, the corresponding activity is highlighted in orange. The default reminders are 'If yes, please provide meeting minutes and attendance list' or 'If no, please pause the assessment and ask for guidance from your support organisation'. An assessment does not necessarily have to stop because community consent mechanisms are not (yet) in place or specific consensus has not been given, but these cases should trigger clear action points on how to improve or remedy the issue that has been identified.

The safeguard function also applies for the development and provision of essential thematic maps and application of sampling designs for field checks.

Independent smallholder groups and their support organisations may reach out to the HCSA secretariat for guidance on which indicative HCS-HCV maps are available for the implementation stages 1 – 5. After field checks have been carried out (stage 5) and a land use zone analysis has been done (stage 6), it is expected that the resulting (initial) land use plan captures the situation on- the-ground.

Implementation stage	Activity / indicator	Yes / No	Evidence / Note
1. Preparation	Is your independent smallholder group (ISH) a formal organisation? (e.g. a cooperative, an association, or institution)		If yes, please give name and details If no, please describe your group structure and responsibilities
	Is the boundary of your community or village lands clear and undisputed?		If possible, please provide boundary map(s) If disputes exist, please describe land disputes or grievances
	Do you have legal rights to your land?		If yes, please provide documentation If no, please provide description of customary ownership or other documentation
	Do you have the acknowledgement or support from the Head of Village, Customary Leader, relevant representative of administrative jurisdiction for the Toolkit implementation?		If yes, please provide letter, meeting minutes and/or other relevant documentation If no, please describe the controversial topics or disagreements (are controversial topics or disagreements in conflict with HCS or HCV management?)
	Do you have the same vision for development as the Head of Village, Customary Leader, relevant representative of administrative jurisdiction?		If yes, please provide letter, meeting minutes and/or other relevant documentation If no, please describe the different visions for development (are alternative visions in conflict with HCS or HCV management?)
	Are you working with a technical team for the assessment? **Note:** The technical team may consist of technical experts, facilitators, and local experts. These roles can be covered by the same supporting organisation. Over time and with continuous training, we anticipate that these roles can be covered increasingly by local communities		If yes, please provide details such as name, organisation, and the role If no, please describe how you plan to organise the assessment
	Do you have socialisation materials to explain the Toolkit?		If yes, please list the different socialisation materials and describe how you plan to use them If no, please describe how you anticipate creating awareness and providing information
	Do you have indicative HCS-HCV maps for the Area of Interest (AOI)? **Note:** The assessment may go ahead if only indicative HCS maps are available		If yes, please provide maps If no indicative maps are available, please describe how you plan to proceed
	Do you have thematic maps including land tenure information for the Area of Interest (AOI)?		If yes, please provide information or maps (if available) If no, please describe how you aim to collect or map relevant information including land tenure information
2. Socialization &awareness raising (1st village consultation)	Has the community been made aware of and informed about the planned assessment and its objectives?		If yes, please provide meeting minutes with attendance list or other evidence of informing the community If no, please describe how you aim to inform them before proceeding.
	Do community members understand how to participate in the assessment and consultation processes?		If yes, please provide meeting minutes If no, please describe how you aim to inform them
	Did more than 15% of the households (including heads of families, women, youth, ethnic minorities, or indigenous peoples) in the village attend the 1st village consultation?		Please provide meeting minutes with attendance list and information on the overall population of the village
	Did other key stakeholders participate in the village consultation meetings? (e.g., local government agencies, companies)		Please provide meeting minutes with attendance list
	Do you have a clear, participatory and consent (FPIC) process for land use decisions?		If yes, please describe the process If no, please describe how you aim to make land use decisions in the community
	Do you have community consent that the assessment may proceed? **Note:** Community consent should include agreement about the composition of the technical team		If yes, please provide meeting minutes If no, please pause the assessment and ask for guidance from your support organisation

3. Social Mapping	Did community representatives attend social mapping meetings?		If yes, please provide meeting minutes and attendance list If no, please describe how you aim to engage or inform them
	Did the participating community representatives include women, youth, and ethnic minorities or indigenous peoples during social mapping meetings?		If yes, please provide meeting minutes and attendance list If no, please describe how you aim to engage or inform them
	Did the social mapping meetings identify: • Local livelihoods including threats and opportunities for conservation, • local land tenure, • contested boundaries or land areas, • important resources and areas? **Note**: If possible, please provide primary data sources or refer to existing data sets.		If yes, please provide meeting minutes, attendance list and documentation If no, please describe why bullet point is 'not applicable'
	Are the results from social mapping meetings completed and compiled in a form that can be presented during the 2nd village consultation?		If yes, please provide meeting minutes and documentation If no, please double check if further meetings are necessary or prepare presentation materials for 2nd village consultation
	Do community representatives consent to present results from social mapping meetings during the 2nd village consultation?		If yes, please provide meeting minutes If no, please pause the assessment and ask for guidance from your support organisation
4. ICA mapping (2nd village consultation)	Has a thematic map been created that includes results from social mapping?		If yes, please provide maps If no, please describe how you plan to proceed
	Has the thematic map been updated with information from the ICA mapping process?		If yes, please provide maps, meeting minutes, and attendance list If no, please describe how you plan to proceed Note: A sketch map is OK
	Does the thematic map include: • Area of Interest (AOI), • ICAs that sustain community livelihoods or fulfil basic community needs? (e.g., customary forests, rivers and lakes, vegetation in steep areas)		If yes, please provide maps of the AOI including locations of important areas and meeting minutes If no, please describe how you plan to proceed
	Did more than 15% of the households (including heads of families, women, youth, ethnic minorities, or indigenous peoples) in the village attend the 2nd village consultation?		Please provide meeting minutes with attendance list
	Is the participatory map available in a format for field verification?		If yes, please provide maps and explain how they can be used during field checks If no, please describe how you plan to proceed
	Do community members consent to results from ICA mapping / 2nd village consultation?		If yes, please provide meeting minutes with attendance list If no, please pause the assessment and ask for guidance from your support organisation
	Do community members consent to start field verification?		If yes, please provide meeting minutes with attendance list If no, please pause the assessment and ask for guidance from your support organisation

5. Field verification	Are you working with field teams for field verification?		If yes, please provide name and details. If no, please describe how you plan to proceed
	Do field team(s) have all necessary equipment? (e.g., phone, GPS, camera, maps, checklists and templates, tape measure)		If yes, please provide list of equipment If no, If no, please describe how you plan to proceed
	Do you have a system for the location of field points? (e.g. how many points, where to place them) **Note**: Field checkpoints are geo-referenced points for visual assessments and not to be mistaken with sample plots.		If yes, please describe the system If no, please pause the assessment and ask for guidance from your support organisation
	Has field verification been completed?		If yes, please provide map and field check forms (Template 2) If no, please describe how you plan to proceed
	Has a land use map been developed?		If yes, please provide the map If no, please pause the assessment and ask for guidance from your support organisation
	Does the land use map include below zones? • Forest areas ('good forest' and 'bad forest') • ICAs (including HCVs 4 – 6) • Community Use Areas (e.g., shifting cultivation, agroforestry, or home gardens) • HCVs 1 – 3 in and outside forests (if possible) • Scrub and open land • Plantation and farmland • Other areas including settlements and other infrastructure		If yes, please provide the map If no, please pause the assessment and ask for guidance from your support organisation
6. Land use plan (3rd village consultation)	Has the assignment to land use zones been completed according to the decision tree (Template 4)?		If yes, please provide a map or list of suggested conservation and development areas. If no, please pause assessment and ask for guidance from your support organisation
	Are there any areas for which you cannot reach an agreement? **Note:** If disagreements do not impact community consent, the assessment may proceed		If yes, please describe areas and types of disagreements If disagreements impact community consent, please continue negotiations until you reach an agreement
	Did more than 15% of the population in the village attend the 3rd village consultation / workshops / meetings?		Please provide meeting minutes with attendance list
	Do community members consent to the initial land use plan including broad management objectives?		If yes, please provide meeting minutes with attendance list If no, please pause the assessment and ask for guidance from your support organisation

FIELD CHECKLIST (TEMPLATE 2)

The toolkit uses the following vegetation and land use zones:

- 'Good' Forest (HDF, MDF, LDF),
- 'Bad' Forest (LDF, YRF),
- Scrub and Open Land,
- Community Use Areas (e.g., shifting cultivation, agroforestry systems),
- ICAs including HCVs 4 - 6
- HCV areas 1 – 3 inside and outside of forest areas,
- Plantations and farmland,
- Other areas including settlements and other infrastructure (may be separated as suitable for the local context)

This is not an exclusive list, and it may be adapted according to the local context as long as adaptations can be aligned with the above land use zones. The main intention of the toolkit is to delineate conservation areas from areas that may be developed for plantations and farmland, or other development purposes.

The field verification process focuses on the visual assessment of vegetation structure, environmental, and social values. Field verification does not include the estimation of biomass or carbon stocks[26].

Field Verification Form		
Field Point No:	**Geo-coordinate:**	**Place or forest name (if any):**
Indicator	**Yes / No**	**Evidence and remarks**
1. Legal requirements		
1.1 Area is a legally protected area[27]?		(Mark them in the map and in the area)
2. Land use classification		
2.1 What is the canopy structure, open or closed? **Note:** If no trees are present, there is no need to take a photo		Take photo looking up
2.2 Trees > 30 cm diameter are dominant?		List main species
2.3 Trees of 10 - 30 cm diameter are dominant?		List main species
2.4 Evidence of recent logging, clearing or fire?		Photo
2.5 Within 1 km of vehicle road or track?		
2.6 Is the forest patch part of a very large forest in the landscape (more than 50,000 ha)?		
2.7 Would this best be described as a "Good Forest"?		(List main species see 2.2) Photos (Four photographs will be orientated in turn to the north, south, east and west, and one photo will point directly up to show the canopy density)
2.8 Bad Forest?		(List main species see 2.3) Photos (Four photographs will be orientated in turn to the north, south, east and west, and one photo will point directly up to show the canopy density)

26 Additional modules may be developed to enable the estimation of biomass and carbon stocks, if agreed with and supported by the HCSA membership and Executive Committee.
27 For Indonesia, refer to RI Regulation No. 5/ 1990 on protected and conservation area

2.9 Forest fallow as part of shifting cultivation area?		Photo
2.10 Mixed garden or agroforestry system?		Photo
2.11 Scrub or open land?		List main species Photos (Four photographs will be orientated in turn to the north, south, east and west, and one photo will point directly up to show the canopy density)
2.11 Plantation or farmland?		List main crop Photo
2.12 Area is a corridor or steppingstone connecting one Good Forest area to another?		If present, take a photo of the area and mark it in the map List main species
2.13 Land ownership?		Community, individual
3. High Conservation Values (HCV)		
3.1 Is this area also an Important Community Area (ICA)?		If yes, describe what are the ICAs and its usage to the community.
3.2 Are there peatland soils?		If present, take a photo of the area and mark it in the map List peat depth, i.e. shallow, or deep List main or focal species
3.3 Is the forest patch part of a very large forest in the landscape (more than 50,000 ha)?		If yes, this is to be recorded and the forest is identified in the map.
3.4 Are there focal species in or using the forest patch?		List species
3.5 Are there any remaining natural ecosystems? (e.g., wetlands, natural grasslands)		If present, take a photo of the area and mark it in the map List main or focal species
3.6 Vegetation close to lakes, rivers, or streams?		If present, take a photo of the area and mark it in the map List main or focal species
3.7 Vegetation on steep slopes or on rocky cliffs in watershed areas or close to settlements?		If present, take a photo of the area and mark it in the map List main or focal species
3.8 Is the forest patch in or near any other priority conservation area designations?		
3.9 Are there features or artefacts of cultural or spiritual importance?		If present, take a photo of the feature or artefact and mark it in the map List feature or artefact
3.10 Important natural resources?		If present, take photos of the resources and mark the area in the map List natural resources
4. Other areas		
4.1 Other areas? (e.g. mining, settlement, road)		If present, take photos of the resources and mark the area in the map Describe land use

MANAGEMENT & MONITORING CHECKLIST (TEMPLATE 3)

Now HCS forest and HCVs areas have been identified along with the categories of forest for protection, as a community you will want to make sure that these areas are maintained and enhanced. For this you will need to develop a Management & Monitoring plan to guarantee that your objectives and goals are achieved. Then what do you need to do? Here's a list of steps towards the development of a Management & Monitoring plan. Please always remember to do village and stakeholder consultation in every phase and activity of the management and monitoring plan.

Steps	Activities
1. Define your management area (HCS and HCV management area is an area needed for managing HCS forest and HCVs to ensure that those areas are maintained and enhanced.	• Establish a baseline of the current condition on each value (HCS forest and each HCV) and at this point, a monitoring plan should start • Consult the communities, experts, and other stakeholders • Establish boundaries of the management area • Prepare a map of the HCS & HCV management area including the identified Forest Protection areas and what category of forest they are.
2. Assess threats	• Identify threats for these areas (Where are the threats coming from? Internal? External? Are they direct threats or indirect ones?) • How often do the threats happen? • What's the impact of the threats to each value and the area?
3. Develop the management plan	• Define general management objectives (for example, to maintain the forest category as natural forest for future generations) • Define specific objectives of the management (for example, to maintain populations of endangered species found as HCV1 to be the same as the baseline and/or improvement or increase of such species) • Define management strategies (for example, conservation of the whole management area) • Identify the management activities, including to address the identified threats and an Incentive and Benefits (I&B) program (for example, preparing inventory of such population; preparing regulations agreed by the whole communities to not hunt or utilise such species) • Establish a team that will implement this management plan and the I&B program • Establish a budget and timeframe for the implementation • Establish an Incentives and Benefits program to support the management • Establish a reporting system to monitor this implementation
4. Develop the monitoring plan	• The monitoring should start when the baseline information is established (see Step 1) • Establish indicators agreed to be monitored • Analyse the monitoring results to adjust the management plan if necessary • Develop an adaptive management plan based on the monitoring results

Table 8: Steps and activities for the Management & Monitoring Plans

Attributes	Key focus	What to monitor
HCS	Natural forest cover	• Carbon stock • Natural forest cover • Land use change
HCV1	Species concentration	• Habitat size and quality • Number of species that is endangered • Utilisation of these species
HCV2	Large landscape and ecosystem value	• Is the HCS and HCV management area surrounded by protected area or forests of landscape level scale? • Are they connected? • Any fragmentation that has happened over time?
HCV3	RTE ecosystems	• Peat, heath, and karst forests quality • Fire especially on the peatland
HCV4	Ecosystem services	• Quality of streams and rivers • Controlling any agrochemicals in these streams, rivers, and other water bodies • Controlling erosion, floods, and other damaging activities
HCV5	Community basic needs	• Quality of communal areas for meeting basic needs • Level of utilisation of timber or non-timber forest products to ensure their sustainability • Participation of communities in making decisions on their communal areas
HCV6	Cultural needs	• Conservation and protection of these areas • Boundary marking

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HCSA
HIGH CARBON STOCK APPROACH

FOR FURTHER INFORMATION

Contact the HCS Approach Secretariat:

info@highcarbonstock.org

+60 3 2072 2130

+60 3 2070 0130

highcarbonstock.org