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**THE HCS  
APPROACH  
TOOLKIT**

**MODULE 3**

VERSION 2.0  
MAY 2018

THE HCS APPROACH  
**PUTTING NO DEFORESTATION  
INTO PRACTICE**

**Integration of High Conservation Values (HCV),  
High Carbon Stock (HCS) Forest and Free,  
Prior and Informed Consent (FPIC)**



## THE HCS APPROACH TOOLKIT V2.0 MAY 2018

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# MODULE 3

## Integration of High Conservation Values (HCV), High Carbon Stock (HCS) Forest and Free, Prior and Informed Consent (FPIC)



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# INTRODUCTION

The High Carbon Stock Approach (or HCSA) relies on comprehensive High Conservation Value (HCV) assessments as well as the Free, Prior and Informed Consent (FPIC) of local communities to achieve its goal of being a practical and effective tool for breaking the link between deforestation and commodity production, as well as securing conservation of social and environmental values. Consequently, the existing High Conservation Value (HCV) methodology is a critical component for the HCS Approach, ensuring that important biological and social values that need special conservation attention in the context of land use planning are identified, managed and monitored. Equally, the HCS Approach builds on the existing commitment that the FPIC of indigenous peoples and local communities must be secured and incorporated into land use planning and decision making processes. Each of these tools and approaches is individually useful for securing environmental and social values during agricultural and natural resource expansion in tropical ecosystems, but it has been acknowledged that their integration would provide considerable efficiencies and reduced confusion for stakeholders.

## Box 1: Integrated HCV-HCSA Assessment Manual

Since the initial publication of Module 3 in May 2017, the HCV Resource Network (HCVRN) has launched a technical manual for assessors leading integrated HCV-HCSA assessments. Upon publication of the manual (November 2017), all HCSA assessments must be conducted as part of an integrated HCV-HCSA assessment. Peer review and the quality control of integrated HCV-HCSA assessments will be undertaken by the HCVRN Assessor Licensing Scheme (ALS). Lead assessors must hold an ALS license and be registered HCS Approach practitioners.

### **When to use Module 3 and the Integrated HCV-HCSA Manual?**

Efforts have been made to align Module 3 and the HCV-HCSA manual, such that all relevant content from Module 3 has been included in the manual.

- **If you are an HCV-HCSA assessor leading an assessment: Use the HCV-HCSA manual when conducting any integrated assessments.**

*It includes guidance on integrating the identification of HCVs and HCS forests and FPIC into assessments, as well as details on ALS requirements.*

- **If you are another user looking for an overview of the steps in an integrated HCV-HCSA assessment: Refer to Module 3**

**Note:** *If there are any discrepancies between the summary overview in this module and the HCV-HCSA manual, the process detailed inside the manual shall take precedence.*

*Standalone HCV assessments will continue to be conducted as part of the HCVRN ALS. Standalone HCSA assessments conducted prior to the publication of the HCV-HCSA manual will still be reviewed through the HCS Approach Steering Group's existing quality review process, which will eventually be phased out. HCSA will quality check the finalisation of the proposed ICLUP.*

*For more information, contact [secretariat@hcvnetwork.org](mailto:secretariat@hcvnetwork.org)*



To this end, in 2015, the HCS Approach Steering Group established the HCV-HCSA-FPIC Integration Working Group. The Working Group's agreed objective was to integrate the three approaches into a more efficient, unified process that will be cost-effective to the producer/project developer, less onerous and confusing for local stakeholders, and deliver more robust and integrated land use planning on the ground.

In recognition of the fact that HCV, HCSA and FPIC each has a specific identity and purpose, the direction provided in this module does not in any way replace the existing standalone guidance or toolkits developed for each approach (see boxes 2–4). Rather, this module seeks to provide guidance on how these distinct processes can be dovetailed so that they can be delivered concurrently in an efficient and harmonised manner.

The benefits of synchronising all three into an integrated approach are clear:

- More efficient in terms of time and cost.
- Harmonised reflection and optimisation of underlying values.
- Reduced conflicts/increased and harmonised dialogue with stakeholders prior to decision making.
- Reduced conflicts between conclusions of different assessments (which may result in different designations of the same area).
- Improved, integrated final land use planning and management recommendations.

This module is the output of the Integration Working Group's efforts in 2015 and 2016.<sup>1</sup> It serves as a brief overview and guide to delivering the HCV, FPIC and HCSA<sup>2</sup> value-based processes simultaneously in the field. While this guidance does not cover the FPIC concept in full, it does pinpoint key aspects of FPIC that are integral to an HCV-HCSA assessment. It is for this reason, that the manual is called the HCV-HCSA manual and not the HCV-HCSA-FPIC manual, but that does not mean that FPIC can be side-lined during an integrated assessment. The manual is based on the Working Group's framework and highlights where and how FPIC procedures need to be included in an integrated assessment. The HCV-HCSA technical manual for assessors was published in November 2017 by the HCV Resource Network (HCVRN).

**Note:** *The context for each integrated assessment is different and various practical approaches will be necessary – such as with the order of activities, types of studies needed and number of field visits.*

*It is mandatory to follow the order of the three main phases of the assessment (Pre-Assessment, Scoping Study, Full Assessment), however, within those phases, the order and timing of different activities is left to the discretion of the assessment team.*

## Box 2: Free, Prior and Informed Consent (FPIC)

*FPIC is the principle that a community has the right to give or withhold its consent to proposed developments that may affect the lands and waters it legally or customarily owns, occupies or otherwise uses. FPIC is now a key principle in international law and jurisprudence related to indigenous peoples. FPIC implies informed, non-coercive negotiations between investors, companies or governments, and indigenous peoples and local communities prior to project development. Respect for FPIC is now considered standard best practice across many sectors.*

*FPIC is neither an assessment nor a tool; it is a process and a way of doing business that requires an attitudinal shift towards empowering communities to be at the centre of any land use planning or conservation priority setting that affects their lands.*

<sup>1</sup> The core Integration Working Group team was composed of Proforest (Chair), Greenpeace, TFT, Daemeter and the Forest Peoples Programme, but a wider group of stakeholders, including field practitioners, were included in the working sessions. The Working Group brought key stakeholders together for a first technical workshop in Bogor, Indonesia, in May 2015, with funding from IDH, to begin developing this integrated framework. The Working Group used the output of the workshop to develop the integrated framework.

<sup>2</sup> **Note:** This integrated approach is anchored in the latest version of the HCS Approach, following refinements based on recommendations from the HCS convergence process (convergence of HCS Approach with HCS+).

### Box 3: High Conservation Value (HCV)

*An HCV is a biological, ecological, social or cultural value of outstanding significance or critical importance. The HCV Approach is designed to identify and maintain or enhance environmental and social values in production landscapes. It is based on six values, covering species diversity (HCV 1), landscape-level ecosystems (HCV 2), rare ecosystems/habitats (HCV 3), critical ecosystem services (HCV 4), community livelihood needs (HCV 5) and cultural values (HCV 6). Generally, HCVs 1–3 are significant in a global context, whilst HCVs 4–6 are more locally relevant.*

Key HCV guidance documents are available on the HCVRN website: [www.hcvnetwork.org](http://www.hcvnetwork.org)

- Common Guidance for HCV Identification
- Common Guidance for HCV Management & Monitoring

### Box 4: High Carbon Stock Approach (HCSA)

*The HCS Approach is a methodology used to distinguish forest areas that merit protection from degraded areas that can be converted. The HCS Approach uses a vegetation threshold between natural forest and degraded land based on six vegetation classifications. These classifications are identified using remote sensing data and field plot measurements. A combination of conservation science factors are used to analyse the patches in order to define 'viable forest areas'. Many companies across several sectors have adopted the HCS Approach as part of their commitment to produce or source 'no-deforestation' or 'deforestation-free' products.*

HCS Approach website:  
[www.highcarbonstock.org](http://www.highcarbonstock.org)

HCS Approach Toolkit:  
[www.highcarbonstock.org/the-hcs-approach-toolkit/](http://www.highcarbonstock.org/the-hcs-approach-toolkit/)





# HCV-HCSA-FPIC INTEGRATION FRAMEWORK



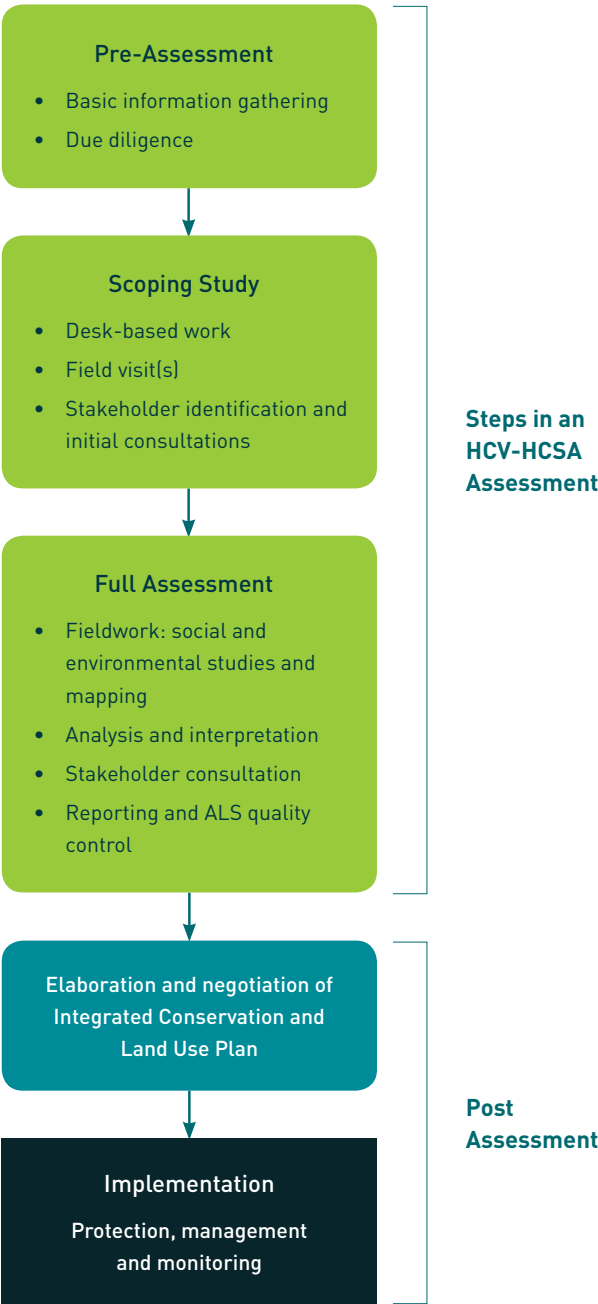
The Working Group developed a framework for how HCV, HCSA and FPIC could be integrated to make the implementation of these processes more efficient. This module and the manual focus on the assessment process. However, it is important to understand that the assessment itself is only part of the wider HCS Approach. Before the assessment begins, the producer/project developer must have secured legal permissions or rights to explore and/or develop the area, and must have already initiated the FPIC process.

The output of the HCV-HCSA assessment is a report detailing the identification and location of environmental and social values (i.e. HCVs, HCS forest, peat, local people’s land). The assessment report is meant to serve as the foundation for the producer/project developer, communities and other stakeholders to move forward with the development of an Integrated Conservation and Land Use Plan (ICLUP).

The ICLUP includes maps of the Conservation Areas, a full management and monitoring framework, as well as evidence of the consent of affected local communities (remembering that where communities deny consent, the areas in question should be demarcated and excluded from a company’s plantation development or conservation plans).

The assessment process is divided into nine steps split over three phases: Pre-Assessment, Scoping Study and Full-Assessment (see Figure 1). This module provides a summary of the assessment steps. For more details see the HCV-HCSA assessment manual.

The assessment team must be led by an HCVRN Assessor Licensing Scheme (ALS) licensed assessor who is also trained in the HCS Approach. More guidance on the requirements for the integrated team composition and qualifications is available in the HCV-HCSA manual.



**Figure 1:** Integrated HCV-HCSA-FPIC framework



## Pre-Assessment

### 1. Basic information gathering

Before beginning the assessment, the assessor needs to compile basic information including:

1. Details on the Area of Interest (AOI) including the concession<sup>3</sup> and the wider landscape.
2. Current land cover/land use maps.
3. The type of project (current or future), e.g. whether it is for oil palm, forestry plantation, etc.
4. Land tenure status (initial information on who controls/owns/uses the land). This includes both formal and informal tenure arrangements.
5. Summary of FPIC processes that have already taken place.
6. Information about communities within or adjacent to the AOI, if available.

<sup>3</sup> Concession or development or permit area can be used interchangeably here.

### 2. Due diligence

There are certain prerequisites that apply for companies embarking on the integrated HCV-HCSA-FPIC process. The assessment team needs to make a reasonable judgement that the following preconditions are satisfied:

- The company has made a **commitment to environmental and social safeguards** – a statement committing company operations to the core values engrained in the HCV, HCSA and FPIC processes that are being integrated: zero deforestation, peat protection, biodiversity conservation, respect for local community tenure and rights, community food security and support for livelihoods.
- The company commits to a **moratorium on any land clearing** or land preparation until the proposed ICLUP has been completed<sup>4</sup>.
- The company demonstrates their **legal right** over a specifically defined site – for instance by title, lease, planning permit or concession agreement.
- The company has initiated the FPIC process, with full disclosure of the proposed project, with all potentially affected communities<sup>5</sup>.

<sup>4</sup> The HCSA is developing guidance and quality assurance procedures for finalising the proposed ICLUP. Before the proposed ICLUP has been finalised, land preparation can only occur on areas where FPIC has been granted and where land use is not contested or conflicted.

<sup>5</sup> It is recommended that the FPIC process is led by an internal team from the company's 'social' department, which should have sufficient training and the appropriate level of decision making authority. This internal team can greatly benefit from the support of a specialist external expert, who may even lead the FPIC process initially.





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## Scoping study

According to the requirements of the HCV Resource Network Assessor Licensing Scheme (HCVRN ALS), a field-based scoping study is a mandatory step in an HCV-HCSA assessment. Scoping studies are important for the following reasons: they provide an opportunity to meet and consult the government, local communities and other stakeholders; increase understanding of the terrain and land cover; gather further existing data; and verify proposed field sampling or protocols.

### 1. Information gathering

An integrated HCV-HCSA assessment requires considerable data inputs on the project area and its surrounding landscape. This includes data from published and unpublished studies, research reports, papers and other pertinent sources. There are three main types of information required for a comprehensive integrated assessment: environmental data, social data and geospatial data. All data should be recent, objective and detailed.

Typical data required for an assessment:

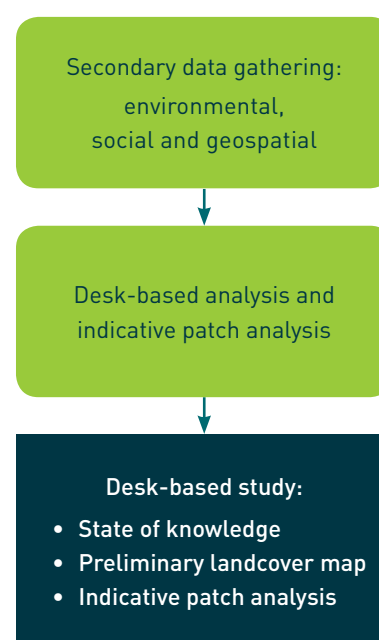
ENVIRONMENTAL DATA	SOCIAL DATA	GEOSPATIAL DATA
<ul style="list-style-type: none"> <li>• Topography and slopes</li> <li>• Vegetation cover</li> <li>• Soil (especially peat)</li> <li>• Hydrology</li> <li>• Existing biological studies (recent)</li> <li>• IUCN Red List and maps</li> <li>• CITES list</li> <li>• Key Biodiversity Area</li> <li>• National protected species list</li> <li>• Protected areas</li> <li>• Analysis of relevant environmental plans, policies and regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Location of villages</li> <li>• Stakeholder mapping, including local NGOs and development projects</li> <li>• Demographics</li> <li>• Ethnographic tenure data</li> <li>• Land cadastre</li> <li>• Existing socioeconomic studies (recent)</li> <li>• Language background</li> <li>• Cultural background</li> <li>• Ethno-botany studies</li> <li>• Socioeconomic status and development needs</li> <li>• Relevant official social and development plans, policies and regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Digital Elevation Model (DEM)</li> <li>• Company development plans</li> <li>• Satellite images (e.g. Landsat/Sentinel)</li> <li>• LiDAR data (if available)</li> <li>• Initial land cover maps</li> <li>• Administrative boundaries</li> <li>• Other concessions' boundaries (e.g. concessions with different owners or different crops in the vicinity)</li> <li>• Protected area boundaries</li> <li>• Moratorium maps (if applicable)</li> <li>• Forest and state area maps</li> <li>• Land system maps</li> <li>• Spatial planning maps</li> <li>• Physiographic regions</li> </ul>

*Key sources: the company/developer, national and local government, local communities, national and local NGOs and development partners, academic and research institutions and online sources.*

Companies are required to share their economic development plans, as well as base maps of estates, proposed lease/concession development areas and the wider landscape. The assessment team will use these to perform an initial analysis covering the scope of the assessment, planning, and the status of legal compliance and development progress within the estates.

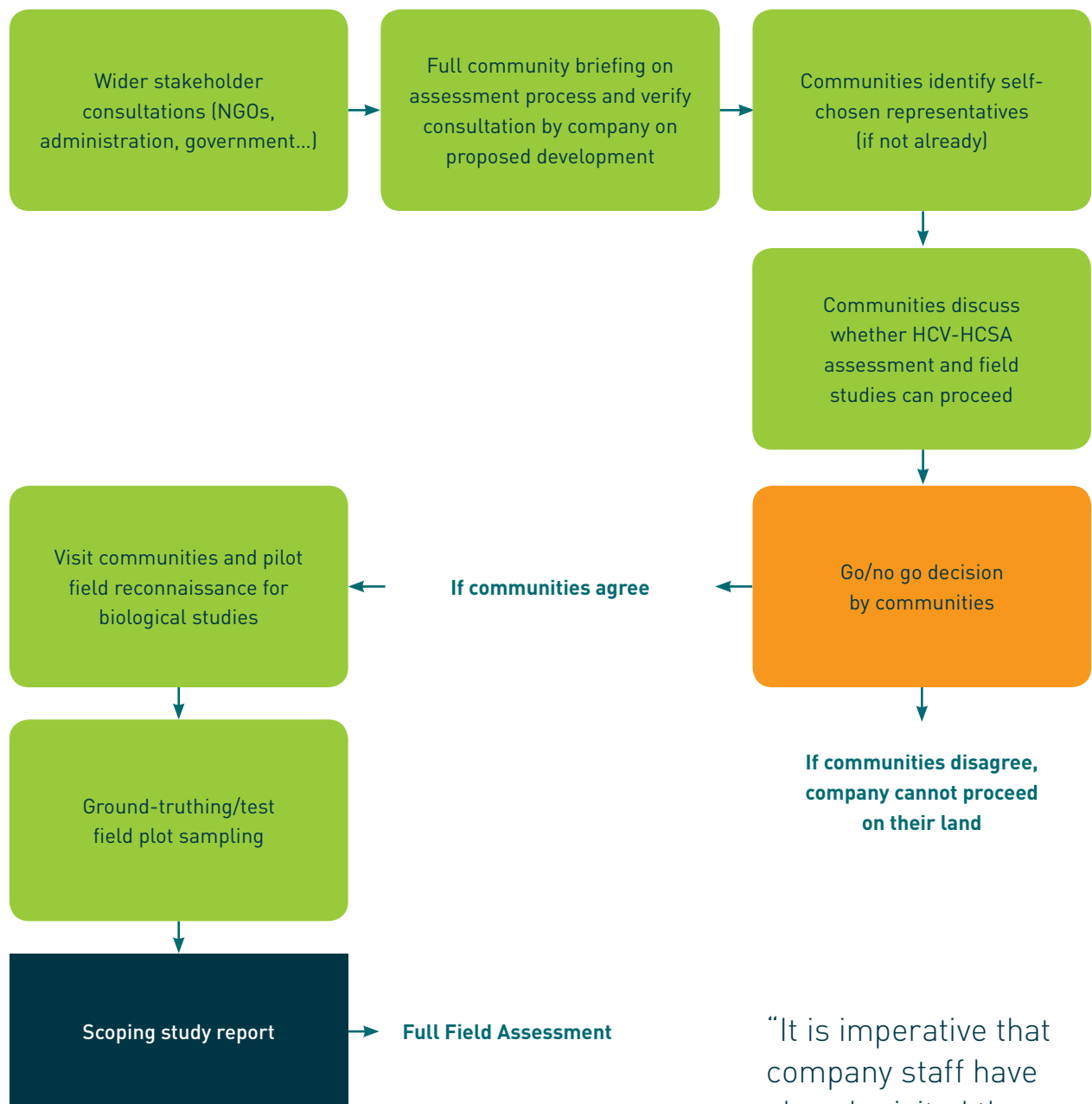
The assessment team needs to review and synthesise these data to understand the environmental and social context for both the project site and the surrounding landscape. A gap analysis should then be completed to identify the main data sets still to be sourced.

This preparatory phase must also include an initial vegetation classification based on remote sensing (optical satellite image or LiDAR) analysis. From this initial vegetation classification, a preliminary first-cut patch analysis should be undertaken (see Module 5) to inform the planning of a field visit during the scoping study, where ground-truthing is one of the key priorities.



**Figure 2:** Scoping study: information gathering





**Figure 3:** Scoping study:  
Field visit(s) and initial stakeholder consultations

“It is imperative that company staff have already visited these communities... to discuss via a two-way dialogue the proposed project, the mutually agreed process for reaching consent for the project...”



Photo: Proforest ©

## 2. Initial consultations

It is important to meet and discuss the proposed project and the assessment with different levels of government – both national and local – as well as other key stakeholders, for instance NGOs/civil society and development project leaders.

Once the scoping study has been initiated, one of the first activities must be to visit local communities likely to be affected by the development. The team should verify that community engagement (the first key part of FPIC) by the company is well advanced and meets the minimal requirements to start the assessment. It is imperative that company staff

have already visited these communities, prior to the assessors' arrival, to discuss via a two-way dialogue the proposed project, the mutually agreed process for reaching consent for the project, and the project development phases including the forthcoming visit of the assessors.



The potential incentives and benefits for integrated conservation and development (rather than just the potential benefits accruing from the plantation development) must be discussed at this stage. This ensures that communities are fully informed and able to consider the benefits, opportunities and costs of conservation. It is important that the communities propose and agree on how they will be represented in the project and how they will give their consent.

As part of checking their due diligence, the assessment team needs to verify during the scoping study that the communities have been informed of the proposed project by the company and that they have understood the location, scale and objectives of the proposed development and conservation and have given their consent to the planned assessments. The assessors should then clearly explain the proposed assessment process, including the various expert field visits, the numerous consultation steps, and the final consent (or not) of the local communities.

### 3. Field visit(s)

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

Field visits are also an opportunity to carry out initial ground-truthing of the draft land and vegetation cover map, as well as calibration of LiDAR or other data/imagery. This will require the assessment team to visit predetermined locations (e.g. sampling plots) in the site to record biomass and ecological data (as per HCS Approach requirements). Ideally, if participatory resource and tenure mapping has already been completed, this can be added to the vegetation data to produce an initial land cover map to aid planning of the main field assessment.

The outcome of the scoping study is some form of scoping report. It could be a written report or a presentation that is shared with the Organisation and other interested stakeholders. The scoping report is useful for communicating with the Organisation and for planning the full assessment.

#### Box 5: Community consent is required at this stage of the scoping study, including agreement on:

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



**GATE – Community consent is required to proceed in whole or in part. If the communities disagree, the company cannot proceed on their land.**



Photo: Wilmar International ©

## Full Assessment

### 1. Fieldwork

During this phase, teams of experts travel to the field site to collect primary data as planned for in the scoping study. The studies will vary depending on existing data in hand and on site-specific circumstances. Typical primary data collection will fall into two parts:

1. Environmental data
2. Social/socioeconomic data

Biodiversity data collection needs to follow rigorous scientific inventory protocols. The botanical plot inventory methods must combine the requirements of both the HCS Approach and HCV identification processes in order to capture data on botanical diversity, habitat and ecosystem types, forest ecology, carbon requirements and biomass measurements (see Module 4c).

ENVIRONMENTAL DATA	SOCIAL / SOCIOECONOMIC DATA
<ul style="list-style-type: none"><li>• Biodiversity studies<ul style="list-style-type: none"><li>• Fauna (potentially focusing on mammals, birds, fish, etc.)</li><li>• Flora/vegetation (potentially focusing on specific species or habitats), including carbon plot inventory and status of forest regeneration</li></ul></li><li>• Geology and soil studies, including peat mapping (if relevant)</li><li>• Hydrology and water quality</li></ul>	<ul style="list-style-type: none"><li>• Socioeconomic data (institutional, demographic, economic, cultural and infrastructural)</li><li>• Land tenure study and participatory resource use mapping</li><li>• Social baseline study</li></ul>

Social data collection needs to be undertaken in an inclusive manner and should reflect the composition of the local community – including age, gender, economic status, religion and ethnicity.

Various participatory learning and action (PLA) methodologies – including focus groups, seasonal calendars and ranking exercises – can be used to ensure that information is collected with full community involvement.

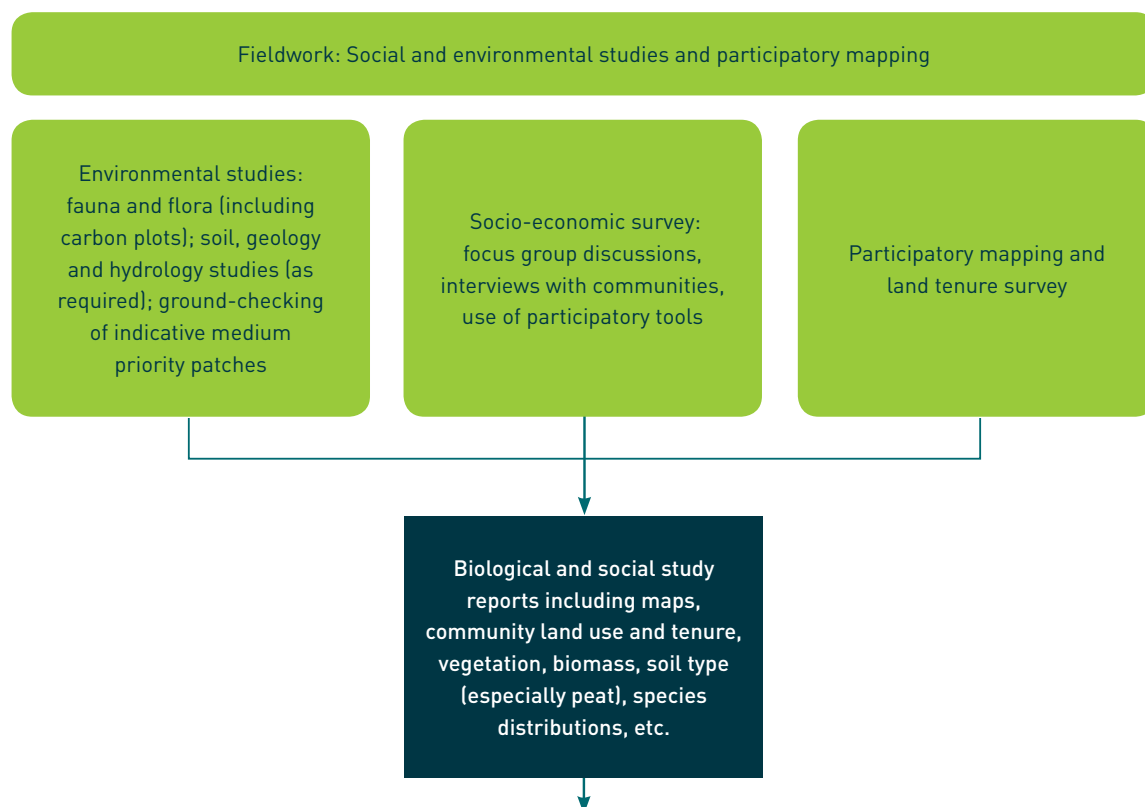
Land tenure and community resource mapping should cover the entirety of the community area (360 degrees) and not just the customary land that overlaps with the proposed development area. This will secure a comprehensive picture of community resource ownership and use, and thereby a better understanding of the real impact of the development on the entire community.

It is becoming accepted best practice for local community representation to accompany the biological and biomass data collection teams when they go to the field. Likewise, it is recommended that social studies and mapping are completed prior to the biodiversity data collection for a variety of important and logical reasons (so that botanical sampling does not occur in sacred sites, for example).

This step in the assessment process is often carried out simultaneously and in full collaboration with the Environmental and Social Impact Assessment (ESIA), as required by both national legislation and many certification standards.

### This step has two key outputs:

- Baseline study reports from both socioeconomic and biological/ecological surveys.
- Maps, including community tenure and resource maps, vegetation/ecosystem maps, biomass/carbon maps, peat maps, maps of survey locations and species occurrence maps (where data is available).



**Figure 4:** Field studies

**Analysis and interpretation**



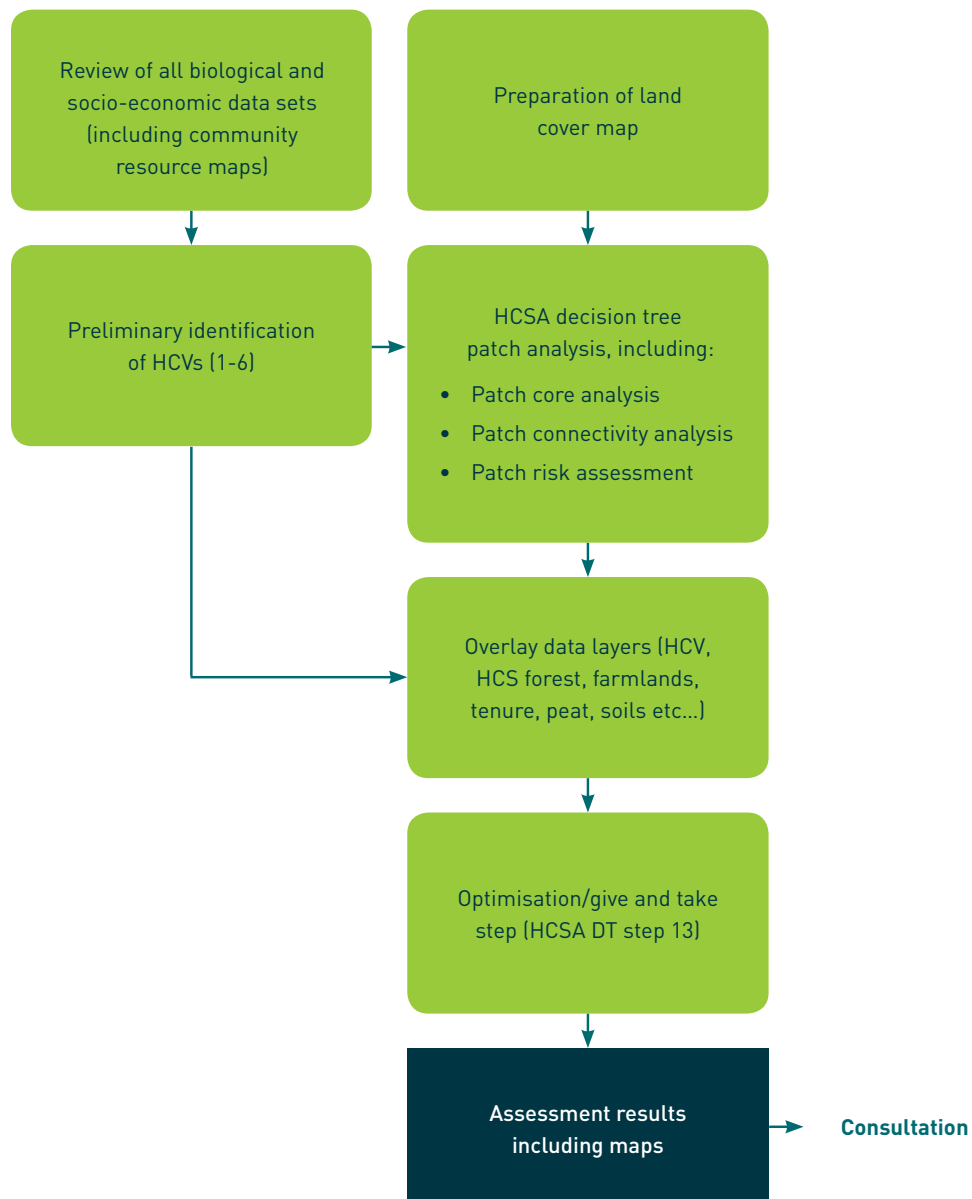


Photo: Proforest ©

## 2. Analysis and interpretation

This step of the integrated assessment process includes the HCV identification and the HCS Forest Patch Analysis Decision Tree (see Module 5b). See section 2.6 of the HCV-HCSA manual for full details on activities to complete during the analysis and interpretation step. For example, activities include:

1. The assessment team, in consultation with key stakeholders and experts, reviews the relevant biological, ecological and social baseline data (primary and secondary) from the field studies to carry out the initial identification of HCVs 1–6 and propose management areas.
2. In parallel, the assessment team finalises the initial land cover maps in conjunction with the forest inventory plot data to complete the Decision Tree process as described in the HCS Approach Toolkit (see Module 5b).
3. The assessment team then needs to overlay all the relevant data sets.  
Data sets to be overlaid here include:
  - Land tenure and resource use maps, including any community protected areas or sites.
  - HCV areas and HCV management areas.
  - HCS forest areas.
  - Peat and organic soil areas.
  - Legally protected and required set-aside areas, including riparian zones (if not already covered by HCVs).
4. Finally, the assessment team needs to follow Step 13 of the HCS Decision Tree to optimise the outcomes for conservation, development and livelihoods. This pragmatic step allows some 'give and take' in the low and medium priority HCS patches so that the draft production/protection map makes logical sense of the Decision Tree from an operational perspective while maximising conservation and livelihood results. This step needs to be conducted in collaboration with both the company and the communities (see Module 5b).



**Figure 5:** Analysis and interpretation





Photo: Proforest ©

### 3. Consultation

#### 1. Community consultation

Presenting the draft outcomes of the full assessment process to the affected communities in a fully transparent manner is a key part of the assessment process. This consultation needs to be led by the assessment team, but it is recommended that the company's social team is represented, where appropriate.

This consultation must allow the communities to make comments on and changes to the proposed assessment findings. Depending on community response and feedback, the conclusions and recommendations may need to be modified. Consultation will continue after the HCV-HCSA assessment is complete and as the company and communities work towards a land use plan. The longer term consultation process needs to include (where relevant) a negotiation and decision making process, including provision of legal counsel, as well as agree on any incentives, benefits or compensation packages due to the communities. Time must be given for the communities to review the information provided, to consult among themselves and with their chosen advisors, and to reach their own decisions about whether and how to proceed.



**GATE – Community consent is required to proceed in whole or in part. If the communities disagree, the company cannot proceed on their land. The company may also decide to withdraw at this stage, should it realise the investment is not viable.**

#### 2. Public consultation

Public consultation – locally, nationally, and globally (via the internet) – of the draft HCV-HCSA Assessment Report is strongly recommended. Public consultation must involve community, government and company representatives to secure final feedback. The draft maps and recommendations should then be reviewed to incorporate feedback and agreed amendments.



Photo: Proforest ©





**Figure 6:** Consultation and report preparation

## 4. Reporting and ALS quality control

The quality control of HCV-HCSA assessment reports is now conducted by the HCVRN ALS (see Box 1). Report evaluation is carried out by members of a Quality Panel, who focus on a set of key issues in the report which must be 'satisfactory' (of good quality) to successfully pass. See Section 2.8 of the HCV-HCSA manual and the ALS website for details on quality control of assessment reports.

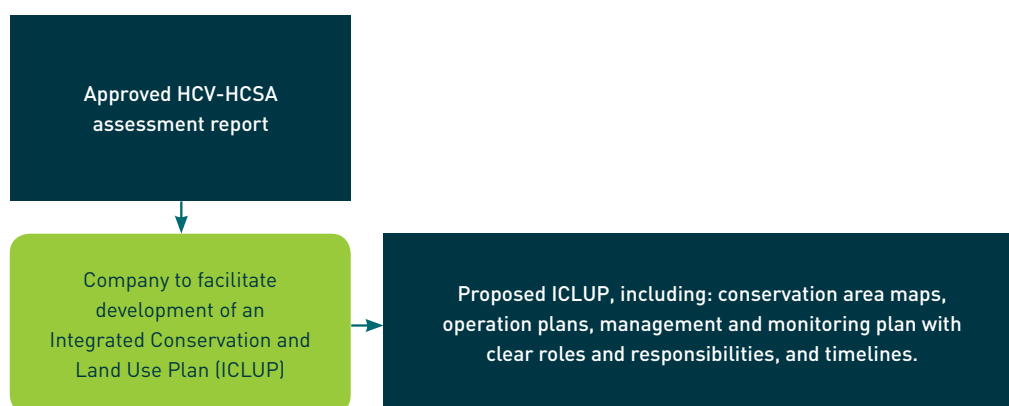


## Post Assessment

### After the assessment: working towards an Integrated Conservation and Land Use Plan (ICLUP)

Completion of the proposed ICLUP is beyond the scope of this module or the manual and is not the role of the assessment team. The assessment report is meant to serve as the foundation for the Organisation, communities and other interested stakeholders to move forward with the development of a proposed ICLUP that will determine land use for responsible commodity production in the landscape, and will include maps showing proposed conservation areas, community land use areas and proposed development areas. The HCSA is developing additional information on ICLUPs for Organisations and other interested stakeholders.

Building on the HCV-HCSA Assessment Report, the ICLUP needs to include final maps of the conservation areas an operational plan for the site (including planting blocks, mills, factories, roads and housing) as well as a final and detailed management and monitoring plan with clearly defined timelines and responsibilities.



**Figure 7:** Integrated Conservation and Land Use Plan



## Community agreement



The ICLUP needs to return to site level to secure definitive final agreement with the local communities that may be affected by the proposed project development. A legally binding agreement between the developer and the affected communities needs to be negotiated and signed at this point in the process. This quid pro quo agreement – a ‘social contract’ – must define in detail the agreement between the communities and the company in relation to:

- Any land ceded, leased or rented by the community to the company (hectares and map).
- Local communities’ access rights to the development and conservation areas.
- Benefit-sharing, financial and legal arrangements.
- Benefits, incentives or compensation (if any) to be transferred to the community by the company – in cash or in kind – and defining the mechanism and timeframe for delivery of these.
- The management and monitoring of the development and conservation areas (planted areas, conservation areas, community farmlands, HCVs 5 and 6, etc.) by the company and/or the community.
- Rules and guidelines pertaining to any use of conservation areas (particularly extractive uses), and the implications should the community use be detrimental to the values being maintained, enhanced or restored in the conservation areas.
- A clause clarifying the consequences if any party (company or community) breaches the terms and conditions of the social contract.

While this step needs to be led by the company, it is critically important that communities are fully aware of the implications of this process. They should therefore have access to legal counsel to support this process.

Ideally, the final agreement should be ratified by both the government and a notary.



**GATE – Community consent is required to proceed in whole or in part. If the communities disagree, the company cannot proceed on their land.**

The output of this process is a final version of the ICLUP, coupled with community consent and a social contract. The ICLUP is meant to be a mutually agreed plan and should honour the values and principles that underpin the HCV, HCS and FPIC approaches.

The next step is the implementation of the integrated plan. This covers the development of the areas agreed for land use change (e.g. planting); conservation of the HCVs, HCV areas, and HCS forests (see Section 5c of the Toolkit); and the management of any community lands as agreed in the ICLUP. Provisions will need to be agreed for participatory management and monitoring, as well as a mechanism for resolution of any grievances and disputes between the parties. Implementation will need to conform with, inter alia, the law, the processes agreed in the ICLUP and social contract, any certification standard (e.g. the RSPO New Planting Procedure), as well as the implementation processes set out in the HCV<sup>6</sup>, HCS and FPIC approaches.

<sup>6</sup> HCVRN (2014) Common Guidance for the Management and Monitoring of High Conservation Values. Available from: [www.hcvnetwork.org/resources/common-guidance-for-m-m-2015](http://www.hcvnetwork.org/resources/common-guidance-for-m-m-2015) (accessed 27 April 2017).

## Lessons from the field

### In partnership with New Britain Palm Oil (NBPOL), Papua New Guinea (PNG).

By Michael Pescott

In 2015, TFT and Daemeter coordinated with NBPOL to trial an integrated HCV-HCS-FPIC approach for 35 small lease areas totalling approximately 4,000 hectares on customary owned land in PNG. TFT led the HCS assessment and provided the initial land cover map to Daemeter, who led the HCV assessment. Both groups of practitioners communicated with NBPOL prior to their arrival in order to understand the status of community awareness, consent and representation for the planned assessments and development process (FPIC). These activities were led by NBPOL's internal sustainability and lands team. The HCV and HCS field assessments took five weeks in total, and both teams were on the ground at the same time. Community engagement during field assessments was combined for both HCV and HCS, reducing confusion and time required from community. HCS field plotting was mostly undertaken together with landowners who provided insight into livelihoods, land boundaries, values and the presence of key species (i.e. where hunted and/or seen). HCS field

plots and classification provides an understanding of forest ecological health related to disturbance and regeneration; useful for HCV. The results indicated a close relationship between HCS and HCV forest areas, highlighting the potential to reduce overall time and cost through sharing of information and fieldwork planning.

The sharing of skills, knowledge and ideas between HCS and HCV teams, particularly those of local PNG forestry, ecological and social experts, aided the overall quality of assessment. NBPOL played a critical role in FPIC prior to, during and post assessment; greatly aiding the quality of assessment and chances to sustain HCS HCV values into the future, particularly as a result of regular and open dialogue with communities around benefits and impacts of oil palm and from gaining active involvement in participatory mapping of land rights, HCS-HCV and in community land use planning.

Another key learning was that as each context is different, each assessment process requires a degree of flexibility, such as with the order and duration of activities, and number of field visits, particularly in relation to community land use planning and participatory mapping.







## FURTHER INFORMATION

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